



UNIVERSITY AT ALBANY

SELF-STUDY REPORT

1990-2000

*a
Decade
of
Progress*

Prepared for the
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of Colleges and Universities

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SELF-STUDY REPORT
A DECADE OF PROGRESS, 1990-2000

The University at Albany
State University of New York



EXECUTIVE SUMMARY

The University at Albany is a nationally recognized major research university. The institution's roots are grounded in the liberal arts, in professional teacher preparation, and more recently in research, education, and service related to public policy. From these traditions, over the past decade Albany has emerged as a research university that emphasizes the integration of teaching, scholarship, creative expression, and service across many disciplinary (and interdisciplinary) areas and in all of its undergraduate, graduate, and professional programs. This Self-Study tells the impressive story of this transformation, and in the process, affirms our institutional commitment to the standards for accreditation through the Middle States Commission on Higher Education. The document also describes and analyzes major themes during this period identified by the campus community as well as those issues that must be addressed to achieve our institutional goals and objectives for the future.

The University at Albany is one of four University Centers within the State University of New York (SUNY). Located on three campuses in two contiguous New York counties, the University at Albany enrolled 16,867 students in fall 1998, of whom 11,617 were undergraduates and 5,250 were graduate students. The institution employed 546 full-time faculty in fall 1998, of whom 74.9% held continuing appointment (tenure). Albany offers a comprehensive and rich program of undergraduate and graduate education encompassing 70 baccalaureate, 76 master's, and 38 doctoral degree programs, as well as graduate certificates in eight subject areas and certificates of advanced study in 12 programs. The institution also offers 177 combined bachelor's/master's degree programs.

The University at Albany's evolution as a major research university during the decade covered in this Self-Study occurred initially under the leadership of H. Patrick Swygert, 15th President, and since 1995, under the leadership of Karen R. Hitchcock, 16th President. Our report chronicles the many ways in which the University developed and changed. The highlights are comprehended within a framework of five major challenges that faced the institution during the past decade. These are briefly summarized below and developed further in the Introduction. 1. To continue, indeed to seek to accelerate, the University at Albany's development as one of the nation's premier public research universities at a time when public institutions of higher education, nation-wide, were finding it essential to diversify their funding base.

In the 1990s, Albany's trajectory into the ranks of the nation's leading graduate education and research institutions was articulated for the first time as an explicit, public aspiration. The capacity to realize this goal was rooted in the quality of the faculty at the beginning of the decade, and has been affirmed by numerous reviews and analyses ranking many of Albany's academic and research programs among the nation's best. For example, the 1997 Graham-Diamond study, *The Rise of American Research Universities*, ranks the University at Albany 17th in research and scholarship among the nation's top public universities. Progress in advancing the University's reputation over the past ten years is particularly remarkable because it has occurred during a relatively short period and at a time when the campus' funding base has had to be dramatically restructured. Like other major research universities, the University at Albany has

During the 1980s, the number of high school graduates in New York State, the source of most of Albany's entering freshman classes, declined by 33%. This trend continued from 1990

3. To establish Albany among SUNY's most selective undergraduate institutions.

high priority for all four SUNY University Centers. Advancing the institution's academic programs. The environment for recruiting the very best graduate students has become increasingly competitive. Albany's excellent faculty and facilities have been important assets in attracting students. To maintain and increase our competitive advantage, raising funds, from both state and private sources, to increase graduate stipends is a high priority for all four SUNY University Centers.

Attracting high-achieving graduate students is also essential for maintaining and ranked, and to raise those that were positioned to move to a higher level. academic and research program, particularly in those areas that were already nationally research universities. These appointments were made in areas of strategic importance to the successful in continuing to attract exceptional scholar/teachers from the nation's premier resources limited faculty recruitment until very recently, the University was nonetheless highly faculty and graduate students. Although a steady reduction of State appropriated operating The decade has also been important in terms of attracting and retaining outstanding

and the arts. management, planning, public health, and other selected areas in the social sciences, humanities, levels of national ranking include cultural and area studies, demography, life sciences, reading, social welfare, and sociology. Other programs that are positioned to move to higher library science, literacy, materials science, psychology, public administration and policy, especially noteworthy, nationally-ranked programs in accounting, atmospheric sciences, clinical While there are strong programs in all current fields of study, the University has

economic vitality. particularly in disciplines that are critical for enhancing the institution's national stature as a center of excellence and for contributing to our region's and State's quality of life and 2. To continue to strengthen the University's research and graduate education programs,

national reputation and stature. confidence in the institution's ability to maintain its direction and momentum to higher levels of government partners, together with the quality of our faculty and programs, all inspire considerable resources through strategic partnerships with industry, other private sector and revenues and strategic allocation so critical to our future. Albany's success in raising in our budget and financial management position us well to continue the diversification of As we move into the next century, structural changes implemented over the past decade

become less dependent on state tax dollar support, and increasingly dependent on tuition and fees, auxiliary revenues and increased revenues from external grants and contracts, alumni, industry and other private sources. The proportion of the institution's annual operating expenditures derived from State tax dollars declined from 43% in 1989-90, to 26% in 1998-99.

Since 1991, major renovation and rehabilitation projects have been completed in the residence halls, in a number of the academic buildings, in the Performing Arts Center and the Main Library, and on the Downtown campus. Four major new building projects have been completed in the past seven years: the Campus Center Extension, the Recreation and Convocation Center, the Center for Environmental Sciences and Technology Management, and the new Science and Technology Library. The East Campus was also acquired to house the

Strong university teaching and research programs must be nurtured in a modern and supportive physical environment if they are to thrive and grow. Throughout the 1990s, the University at Albany has worked diligently to augment and enhance its physical facilities. As of the beginning of the decade, the Uptown Campus, constructed in the 1960s, had not received any significant rehabilitation or any new buildings to accommodate the needs of a student population that had grown to almost 17,000, approximately 6,000 more than the campus' original design capacity. The institution's research program had also grown in excess of original expectations, and the modes of instruction had changed in ways that impacted the functionality of classrooms and other teaching spaces. The Downtown Campus was in similar need of rehabilitation and expansion. Appreciating the severe handicap that lack of adequate space and aging facilities placed on the campus, both Presidents Swygert and Hitchcock made capital construction and facilities renovation a major priority.

4. To address a long-standing disparity between the needs of the academic and research programs and the capabilities of the institution's facilities.

As a result of these initiatives, by the second half of the decade the Albany had established itself as a highly selective undergraduate institution, poised to move into the most selective category. Important infrastructure has been constructed for advancing to the next higher level, and our many successes give us confidence that an effective strategy is in place, so that increased selectivity is achievable in the upcoming decade.

In response to environmental changes (i.e., the twin imperatives to meet enrollment targets and to increase student selectivity) the University mounted a campus-wide effort, engaging every constituency of the institution - faculty, staff, students, and alumni. Concentrated efforts were made to focus attention on the quality of the student experience in the classroom. The Center for Excellence in Teaching and Learning was established to promote excellence in teaching and learning throughout the University. New curricula were developed - e.g., Project Renaissance (an interdisciplinary, living-learning program limited to freshman students), honors courses, faculty-initiated interdisciplinary majors, expanded internships, increased opportunities for study abroad - to distinguish Albany's undergraduate academic experience from competing institutions. Other core aspects of the undergraduate academic experience, including General Education, were substantially reformed. Investments were made to improve the quality of student life in the residence halls and throughout the co-curriculum.

to 1994, when high school graduates declined by a further 6%. Competition among all the State's public and independent institutions has been strong for this smaller pool of traditional applicants; indeed, Albany saw a temporary decline in the academic profile of the freshman class in the early years of the decade.

The remarkable story of the University at Albany's achievements and growth as a major research university since the last Middle States accreditation review is presented in detail in the following ten chapters. The narrative and numerical analyses reflect on the institution's journey during this defining period of its history and development, enunciate goals and objectives for the future, and identify the major issues and challenges that must be addressed in the years immediately ahead. The process of assembling these statements and data has been illuminating for all involved, particularly in providing an opportunity to recall and reflect on the institution's progress and the many impressive accomplishments of our faculty and students. From this foundation we are both committed to and optimistic about advancing the University's programs and stature to higher levels in the first decade of the 21st century and beyond.

Service has been a defining characteristic throughout the University at Albany's history. During the 1990s, the institution invested considerable energy and effort to strengthen this aspect of the mission. Service to society, through individual research programs, through the academic program, and through collaborative ventures with both public and private sector partners, has been, and will continue to be, critical for maintaining the quality and vitality of the University. For in the final analysis, it is through the quality of the institution's research and scholarship, and the quality of the institution's learning environment, that the University ultimately fulfills its mandate of public service. It is through the quality of our relationships with the communities we serve that our public service mission becomes relevant and of true value to society.

5. To rededicate ourselves as a campus community to socially responsible participation in our larger communities.

But the momentum for much needed capital construction and improvements was dramatically increased in 1996, when President Hitchcock, working with the SUNY Construction Fund, received approval to conduct a \$1 million Master Planning Process to enunciate Albany's current and future facility needs. The Process produced a ten-year Master Plan, the first phase of which has been approved for funding by the Governor and the Legislature. This initial allocation of \$120 million is supporting the planning, design, and construction of a new life sciences building, a sculpture and fine arts facility, a new campus police facility, and a new administration and admissions building that will serve as an attractive and convenient public-friendly "front door" to the Uptown Campus. Planning is also underway for renovating and upgrading selected academic buildings on both the uptown and downtown campuses. Improvements in parking, walk-ways, and landscaping are underway, as well.

School of Public Health and to support the institution's partnership initiatives involving industry and other research institutions in the area of biotechnology and biomedical research.

**SELF-STUDY REPORT
A DECADE OF PROGRESS, 1990-2000**

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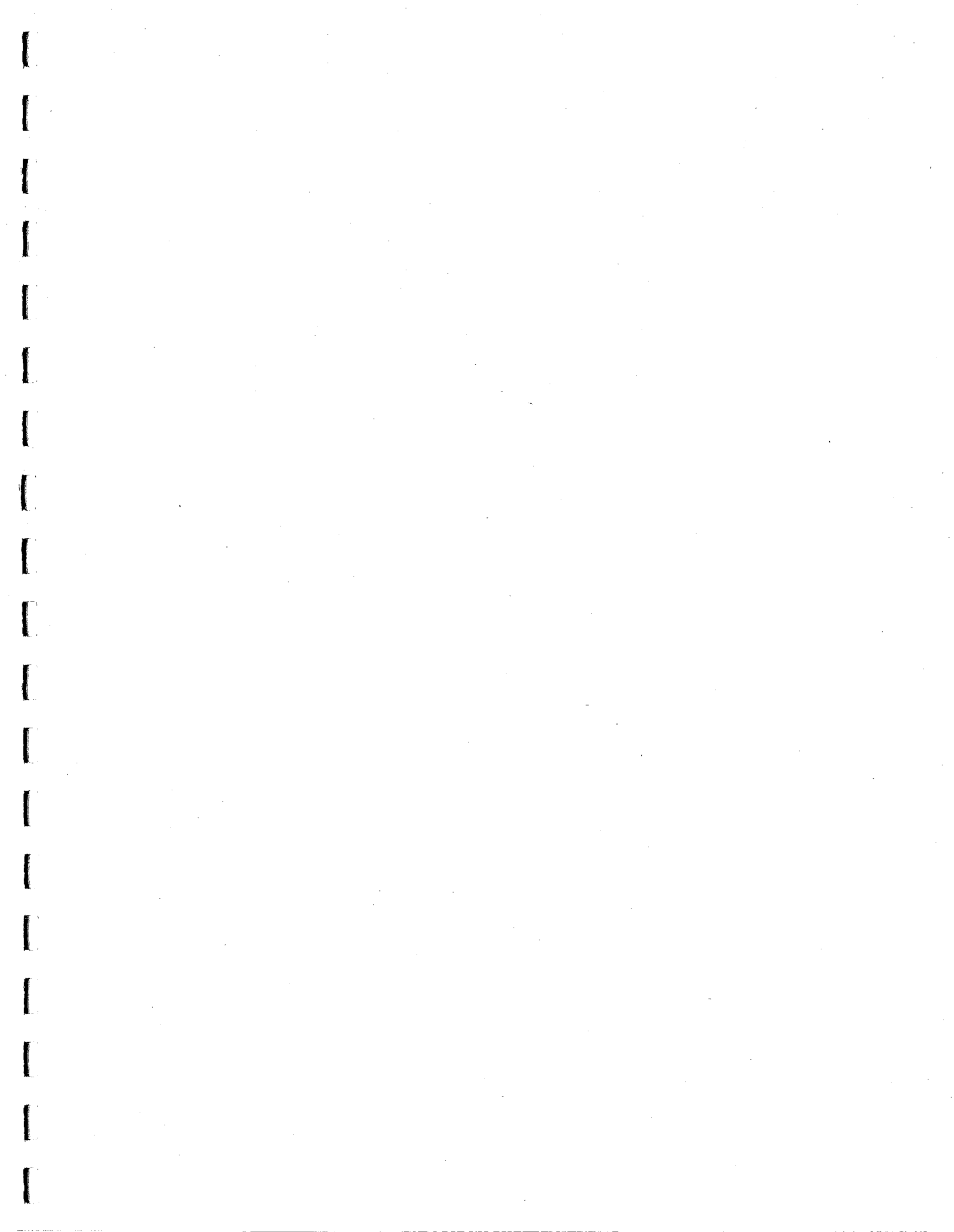
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From Normal School to New York State College for Teachers. The University at Albany, the oldest state-chartered public institution of higher education in New York, opened its doors as the New York State Normal School on December 18, 1844. Establishing the institution was a major part of New York's response to the rapidly expanding education movement in the 1840s and to increasing dissatisfaction with the quality of teachers in the State's common schools. Thus, the new Normal School's mission was both to train new and upgrade existing common school teachers. The founders were committed to a new idea of what constituted an excellent teacher, and at the outset sought to establish an institution dedicated to "the instruction and practice of teachers of common schools in the science of education and the art of teaching." While the linkage of theory and practice, and the conviction that a teacher must be educated in both pedagogy and content, were revolutionary concepts in 1844, their implementation at the New York State Normal School was soon emulated across the nation, and in Europe as well. Thus, from its earliest beginnings, the institution that would become the University at Albany had a national and international reputation for innovation, excellence, and influence.

Historical Development of the University at Albany

The purpose of this first chapter is to set the historical context for the past decade and to define the major challenges that the University has engaged since the last accreditation review. We also introduce the major themes to be discussed throughout the document as well as the issues that must be addressed to achieve our institutional goals and objectives for the future.

- ❖ campus mission and planning processes (Chapter II);
- ❖ campus governance and administration (Chapter III);
- ❖ academic program and outcomes assessment (Chapter IV);
- ❖ students, student life, and student support services (Chapter V);
- ❖ faculty (Chapter VI);
- ❖ budget and financial resources (Chapter VII);
- ❖ facilities and academic infrastructure (Chapter VIII);
- ❖ catalogs, publications, and promotional materials (Chapter IX); and
- ❖ institutional change, renewal, and addressing the 21st century (Chapter X).

The University at Albany is a nationally recognized major research university. The institution's roots are grounded in the liberal arts, in professional teacher preparation, and more recently in research, education, and service related to public policy. From these traditions, over the past decade Albany has emerged as a research university that emphasizes the integration of teaching, scholarship, creative expression, and service across many disciplinary (and interdisciplinary) areas and in all of its undergraduate, graduate, and professional programs. We welcome the opportunity, through this self-study, to tell the remarkable story of this transformation, and in the process to affirm our institutional commitment to the standards for accreditation through the Middle States Commission on Higher Education. In the chapters to follow, we describe and analyze the University at Albany's

INTRODUCTION

Chapter I

Significant changes occurred throughout the institution at the turn of the last century, during the period between 1890 and 1914. By 1890, it was widely recognized that the emerging system of public secondary schools in New York State required an expanded curriculum for teacher training. President William Milne, who served from 1889 to 1914, led the transition from a two- to a four-year institution, including the recruitment of new faculty, development of a new mission and academic program, and admission of a student body with different qualifications. In 1905, the Normal School became a four-year college, offering for the first time B.A., B.S. and Bachelor of Pedagogy degrees. When the School's original building burned in 1906, a new campus was constructed and dedicated in 1909 which reflected the greatly expanded mission of the School.

These institutional transformations were recognized in 1914, when the institution was renamed the New York State College for Teachers and assigned the mission of training teachers in academic subjects for New York State's burgeoning secondary school movement. The College was distinctive in two ways. First, the faculty were concerned exclusively with training secondary school teachers; the institution offered no programs in elementary education programs. And second, the curriculum focused on the liberal arts supplemented by professional training; the institution emphasized that it was a "College for Teachers," not a "Teachers' College." Both these features have been distinguishing characteristics throughout the institution's history to the present day. In addition, in 1914, the College introduced its first graduate programs designed for the advanced education of secondary school teachers and administrators. Over the next several decades, through the 1940s, the College proceeded rapidly to develop the full range of arts and sciences bachelor's and master's programs geared to the continuing professional needs of secondary educators.

From New York State College for Teachers to University Center. The College became part of the newly established State University of New York (SUNY) in 1948, and in the following year Evan R. Collins began his two-decade tenure as president, leading the institution during its most prestigious years as a college for teachers and during its transition to university status. In this period, the State's educational planners concluded that New York's independent colleges and universities could not address the demands of the post-World War II "baby boom" generation, and under the leadership of Governor Nelson A. Rockefeller, funding for the State University of New York was dramatically increased. As part of SUNY's expansion plan, the College for Teachers was designated a doctoral-degree granting University Center in 1962. And in September of that year, the University at Albany enrolled its first class of undergraduate students in liberal arts programs that did not include any required study in teacher education. The new University adopted the model of a broad-based public research institution charged with providing a liberal arts education for large numbers of undergraduates, with developing graduate programs and professional schools, and with building a research program.

The 1960s was a decade of unparalleled growth. Student enrollment increased from 4,000 in 1962, to nearly 14,000 in 1971. Curricula and degree programs were expanded at both the undergraduate and graduate levels of the academic program. A College of Arts and Sciences was established in 1962, and professional schools in criminal justice, business, public administration, and social welfare were added, joining the long-established School of Education. A new campus, the modern complex designed by Edward Durrell Stone that is now the Uptown

The disruption and turbulence continued into the next year, following Emmett W. Field's appointment as President July 1975. President Fields sought to focus the strategic mission of the University by emphasizing the institution's comparative advantage in public policy. This approach built on the campus' location in New York's state capital city and Albany's strong

In this context, a Select Committee on Academic Program Priorities was established to undertake a broad, detailed review of the University's entire academic program and to develop options for the future. The Committee's membership encompassed a broad cross-section of campus perspectives and constituencies and worked on its task throughout most of the spring 1975 semester. Their report, issued in May and implemented in June by departing President Louis T. Benezet, recommended phasing out, by termination or suspension, six doctoral programs, three master's programs, and three baccalaureate programs. The Committee also identified several other programs for further study and subsequent review, and recommended that five programs be given a high priority for increased resources. No changes were recommended for 80 percent of the campus' degree programs.

Defining a New Mission. The University at Albany experienced a dramatic transition in the 1970s, while it was still defining its future in terms of the 1968 SUNY Master Plan. The assumption of growing resources gradually changed to steady-state financial support, and the institution had to readjust expectations and put aside plans for additional construction. By 1974, several compelling environmental factors indicated a need for the campus to re-evaluate its programs. First, it became clear that the enrollments and resources projected in the 1968 and 1972 Master Plans were not going to be realized. The state's fiscal condition was worsening, and preliminary signs pointed to significant budget reductions for at least a two-year period. Second, students' interests had shifted away from once popular fields of study to other fields. Minor internal reallocation of resources had occurred, but could not keep up with these enrollment shifts, leaving some schools and departments under-enrolled and others under-staffed. Third, several graduate programs had been introduced with the expectation of future resources, but those resources had been spread too thinly to offer a full range of high-quality graduate and undergraduate programs. And finally, the budgetary erosion of the early 1970s had highlighted the fact that the campus needed to make hard choices among its programs; the traditional, more across-the-board allocation of resources would clearly not advance the institution's goals and objectives.

The years of growth were not, however, without difficulties. It was not easy to develop an effective administrative infrastructure, and departments were challenged to recruit qualified faculty members in a highly competitive market. The speed of the growth in these years fostered problems that would confront the University in the next decade. Nonetheless, the core, essential structure of a major public research university began to emerge.

Campus, was built and dedicated by 1968. The faculty adopted new by-laws in the 1965-66 academic year, and a new Faculty Senate with its system of councils began to oversee the University's expanded academic program. By the end of the 1960s, the University at Albany offered 49 baccalaureate programs, 52 master's programs and 28 doctoral programs. The first doctoral degree was awarded in 1964 and within a decade, 100 doctoral degrees were being awarded each year.

Near the end of the decade, in 1987, a State-wide initiative developed and promoted by SUNY Chancellor Clifton Wharton, provided targeted resources for the University at Albany and

assessment agenda. outcomes assessment model, which has been widely used nationally in the evolving educational making, the University's Office of Institutional Research created and initiated an educational integrate academic life with residential life. And to inform academic and administrative decision e.g., Faculty Associates, Faculty in Residence, delivery of courses in the residence halls - to University's Co-curricular Committee developed a variety of programs and activities - Faculty Mentor program were established to support student achievement and success. The mathematics, writing, physics, chemistry and computing, as well as tutoring programs and a individual tutorials, special projects, and individual faculty contact. Learning Centers in the opportunity to complete the General Education requirements in a format that emphasized General Education Honors Program was initiated in 1988 to offer academically talented students program was strengthened by the introduction of a new General Education program in 1982. A had become a critical and integral element of the campus' financial plan. The undergraduate research and training support increased to four times the level at the beginning of the decade and strengthen the institution's graduate academic program and research profile. By 1989, external nationally and internationally prominent scholars was recruited planfully, particularly to faculty, including 70 who were appointed at the senior academic rank. This large cadre of the four years following the Task Force Report, the University attracted over 250 scholars to the focus and strength to the University's policy-oriented education and research programs. Over The Nelson A. Rockefeller College of Public Affairs and Policy was established to give identity, resilience and determination to advance the institution's national stature and reputation. In 1981, appointments and travel). In spite of these challenges, the University showed remarkable budget "mini-crises" (e.g., delayed budgets, mid-year reductions, restrictions on personnel inflation. The 1980s was also a period in which the campus managed relentless annual State Although State funding nearly doubled between 1979 and 1989, it barely kept pace with Fiscal issues and budget constraints continued to impact the campus over the next decade.

succeeded Fields as President. who chaired the Select Committee and who also served as a member of the Task Force, range vision and direction for making programmatic decisions. In addition, Vincent O'Leary, decade. The July 1977 Report, "Missions, Programs, and Priorities for Action," provided a long- strategic planning that would continue to guide the University's development for the next strategic focus. When Emmett Fields left the institution in 1977, he left in place an approach to quality, their enrollment demand, or their ability to contribute significantly to the public policy reallocated to departments and schools that had been given a high priority on the basis of their to meet the budget reduction targets. More importantly, however, significant funds were reorganized or consolidated. The resources obtained following these decisions were in part used programs. One school and three administrative offices were eliminated, and others were final report, President Fields acted to eliminate four doctoral, four master's and seven bachelor's began in 1976 gave additional urgency to the committee's work. Following the Task Force's recommendations for implementing this vision. Impending further State budget reductions that critical State need. A Task Force on Resources and Priorities was created to develop faculty and academic programs in the professions and public affairs, particularly in areas of

In the 1990s, Albany's trajectory into the ranks of the nation's leading graduate education and research institutions was articulated for the first time as an explicit, public aspiration. The goal is reflected in key institutional documents created throughout the decade -- i.e., the University's *Mission Statement*, revised in 1992; President Hitchcock's 1996 Inaugural Address, *Engaging the Future*; the University's Strategic Plan, *Charting the Future: Creating a New Learning Environment for the 21st Century*, as adopted in 1998; and most recently, in the *Mission Review* statement, developed in 1999 as part of a SUNY-wide process for clearly articulating each campus' institutional mission. The capacity to realize this goal was rooted in the quality of the faculty at the beginning of the decade, and has been affirmed by numerous reviews and analyses ranking many of Albany's academic and research programs among the nation's best. As described in Chapter VI of the 1997 Graham-Diamond study, *The Rise of American Research Universities*, the University at Albany is ranked 17th in research and scholarship among the nation's top public universities.

1. To continue, indeed to seek to accelerate, the University at Albany's development as one of the nation's premier public research universities at a time when public institutions of higher education, nation-wide, were finding it essential to diversify their funding base.

institution during the past decade. is presented, within an overall framework highlighting the five great challenges that faced the analyzed in detail in the following chapters and appendices. The following overview, however, President. The many ways in which the University evolved and changed are described and Patrick Swygert, 15th President, and since 1995, under the leadership of Karen R. Hitchcock, 16th The campus' transformation during this period occurred initially under the leadership of H. national and local context that further tested the institution's creativity, resolve, and character. University at Albany's evolution into a major research university matured during the 1990s in a ***Reaffirming a Commitment to Change, to Society and to Excellence: 1990-1999.*** The

education and research, had been established. years ahead, the critical element, Albany's claim to status as a center of excellence in graduate internationally engaged in their professions. While the campus would face major issues in the wide range of disciplines, offered by a strong research faculty that was nationally and was a very different place. The institution had fully formed academic and research programs in a By the time President O'Leary returned to the faculty in 1990, the University at Albany

the basis for Albany's leap in stature in the 1990s. research and academic programs that had been initiated in the prior years and that would become instrumental in accelerating the growth and development of many of the interdisciplinary professional programs. While this initiative was not fully funded, the resources were nonetheless enrollment of minorities, women, and other groups currently underrepresented in graduate and nation and to double the number of others rated in the top third; and to increase substantially the research; to double the number of Ph.D. programs that ranked among the top 10 percent in the research-based industry and the state's economy; to double the volume of externally sponsored multidisciplinary Centers of Excellence to respond to the needs of the state, the growth of (GRI), was a multi-year program directed toward four primary goals: to develop the other three doctoral granting SUNY centers. The Graduate Education and Research Initiative

Progress in advancing the University's reputation over the past decade is particularly remarkable because it has occurred during a relatively short period and at a time when the campus' funding base has had to be dramatically restructured. Like other major research universities, the University at Albany has become less dependent on state tax dollar support, and increasingly dependent on tuition and fees, auxiliary revenues and increased revenues from external grants and contracts, alumni, industry and other private sources. The proportion of the institution's annual operating expenditures derived from State tax dollars declined from 43% in 1989-90, to 26% in 1998-99. Recently, the SUNY System has revised the allocation process for State tax dollar support to the system's campuses using a methodology that is calibrated primarily to enrollment, as well as sponsored research and a number of performance measures.

This environment has required the University to become very strategic in its planning and budgeting, and to be creative in finding alternative ways to finance its programs. Enrollment management, a very small concern at the beginning of the decade, has become a campus-wide priority. Faculty recruitment, limited during the first half of the decade by the reduction in state funds, has been very focused on programs that are critical to the core academic program and to initiatives and opportunities that will expand our academic mission while, at the same time, generate additional institutional revenues.

Albany's faculty have been very successful in competing for increased sponsored program funds, which have nearly doubled over the past eight years. Further, in 1996, the campus concluded the largest capital campaign conducted by any campus in the SUNY System. Our programs are benefiting from unprecedented alumni contributions and support from corporate and other private sources. The institution has been especially innovative and successful in creating partnerships with industry and government to leverage resources for expanding and enhancing both facilities and program. The Center for Environmental Sciences and Technology Management and the East Campus (described in detail in Chapter VII) are specific examples of the power and potential of this model for funding elements of the institution in the future. These facilities provide expanded and enriched educational and research opportunities for faculty and students, involve the University in collaborative ventures with important constituencies (e.g., industry partners), and are instrumental in advancing the institution's public service mission.

As the funding base has become more diverse, Albany has had to rethink its approach to financial planning and resource allocation so that budgetary constraints do not undermine program excellence. Administrative tools for managing funds in an all source environment have had to be created. More inclusive and sophisticated planning and allocation strategies have been employed to keep key campus constituencies informed and engaged in the context of this new budgetary environment. Over time, the effort has produced a continuum of planning and budget-related activities and committees that have involved significant numbers of faculty, students, and staff. In the first part of the decade, to address the new budgetary climate and to achieve consensus on the institution's mission and goals, President Swygert established an Advisory Committee on Campus Priorities, a Mission Statement Committee, and a Long Range Planning and Resources Committee. President Hitchcock has expanded this planning and allocation activity, stressing faculty participation and the need for shared goals and responsibilities. Thus,

the processes for developing the campus' Master Plan, the Strategic Plan, the recent Mission Review statement, (indeed, this Middle States self-study document), have all benefited from broad-based campus involvement (see Chapter II). The linkage of these planning documents to budget has similarly involved substantial faculty consultation, initially from large ad hoc Budget Panels and through the Long Range Planning and Resources Committee. With the advent of more stable state budgets, President Hitchcock created a permanent university-wide committee, the University Resources and Priorities Advisory Committee (URPAC), to advise the President on annual budget allocations in the context of the Strategic Plan, as well as on a number of policy areas related to campus finances. Members are either appointed or elected to three-year terms in order to acquire experience and expertise in this complex and shifting area.

As we move into the next century, these very considerable structural changes in the University at Albany's budget and financial management position us well to continue the diversification of revenues and strategic allocation so critical to our future. In the past two years, there has been an infusion of resources as a result of revisions to SUNY's tuition and State tax dollar allocation policies, which in turn is making it possible to appoint new faculty who will continue to advance our programs of teaching and research. Our success in raising considerable resources through strategic partnerships with industry, other private sector, and government partners, together with the quality of our faculty and programs, all inspire confidence in the institution's ability to maintain its direction and momentum to higher levels of national reputation and stature.

2. To continue to strengthen the University's research and graduate education programs, particularly in disciplines that are critical for enhancing the institution's national stature as a center of excellence and for contributing to our region's and State's quality of life and economic vitality.

Albany is now authorized to award degrees through 76 master's and 38 doctoral programs, as well as graduate certificates in eight subject areas and certificates of advanced study through twelve programs. While there are strong programs in all current fields of study, the University has especially noteworthy, nationally-ranked programs in accounting, atmospheric sciences, clinical psychology, counseling psychology, criminal justice, education, information science, library science, literacy, materials science, psychology, public administration and policy, reading, social welfare, and sociology. Other programs that are positioned to move to higher levels of national ranking include cultural and area studies, demography, life sciences, management, planning, public health, and other selected areas in the social sciences, humanities, and the arts.

While the institution's research and graduate education programs were expanded and refined during the 1990s, the most significant change during this time period was in the organization of the core arts and sciences disciplines, which were consolidated into a unified College of Arts and Sciences in 1993. Of the University's eight degree-granting schools and colleges, the College of Arts and Sciences is the largest and brought together the three former Colleges of Humanities and Fine Arts, Social and Behavioral Sciences, and Science and Mathematics. The combined unit was created to facilitate interdisciplinary research collaboration and enrich our programs of graduate and undergraduate education.

Although broadly acknowledged as a leading public research university, successful in attracting strong undergraduate students, by 1990, the University at Albany began to experience a much more competitive recruiting environment. During the 1980s, the number of high school graduates in New York State, the source of virtually all of Albany's entering freshman classes, declined by 33%. This trend continued from 1990 to 1994, when high school graduates declined by a further 6%. Competition among all the State's public and independent institutions has been

3. To establish Albany among SUNY's most selective undergraduate institutions.

Albany's research and graduate programs have expanded in remarkable ways over the past decade. Moreover, investments that are currently being made in facilities and new faculty hold enormous promise for continuing this trend. As we continue to increase our faculty numbers, guided by the University's mission and strategic plan, we are confident and optimistic about achieving even higher levels of recognition and distinction in the years ahead.

Advancing the institution's academic programs. As with undergraduate students, the environment for recruiting the very best graduate students has become increasingly competitive. Albany's excellent faculty and facilities have been important assets in attracting students. However, to compete with packages offered by our peer institutions, faculty have increasingly had to supplement graduate assistantships from grants or private sector sources. Raising funds from both state and private sources, to increase graduate stipends is a high priority for all four SUNY University Centers.

The decade has also been important in terms of attracting and retaining outstanding faculty and graduate students. While a steady reduction of State appropriated operating resources limited faculty recruitment until very recently, the University was nonetheless highly successful in continuing to attract exceptional scholar/teachers from the nation's premier research universities, although not without beginning to create salary compression issues in some departments (which is discussed in Chapter VI), a phenomenon pervasive in higher education. These appointments were made in areas of strategic importance to the academic and research program, particularly to maintain those areas that were already nationally ranked, and to raise those that were positioned to move to a higher level. Faculty retention strategies (proactive as well as counter-offers) were also successful, and have contributed greatly to the stabilization of many areas of research excellence on the campus.

In the College's first year, four Ph.D. programs that are at the center of liberal studies at all major research universities - English, French Studies, Philosophy, and History - were either restored or introduced. Other important curricular additions at the graduate level that were established during this period include an interdisciplinary M.S. program in biodiversity and policy, and an interdisciplinary M.A. program in women's studies. Outside the arts and sciences, new Ph.D. programs were authorized in biometry and statistics, epidemiology, and information science. The Dr.P.H. in public health was also authorized. New master's degree programs were introduced in public health and taxation, and new graduate certificate programs were initiated in public sector management, policy and analysis, and urban education.

strong for this smaller pool of traditional applicants, and indeed, Albany saw a temporary decline in the academic profile of the freshman class in the early years of the decade. Concomitantly, SUNY began to institute system-wide changes in budget allocation policies and formulae, described previously, linking resources directly to each campus' enrollment.

In response to these environmental changes (i.e., the twin imperatives to meet enrollment targets and to increase student selectivity) the University mounted a campus-wide effort, engaging every constituency of the institution - faculty, staff, students, and alumni. Concerted efforts were made, based on our student outcomes analyses, to focus attention on the quality of the student experience in the classroom. The Center for Excellence in Teaching and Learning was established to promote excellence in teaching and learning throughout the University and to support and assist faculty and graduate assistants in their professional development as teachers. To help carry out its mission, the Center established planning and analysis teams of faculty on General Education and Interdisciplinary Study, on Assessment and Research, on Teaching Assistants and New Faculty, on Resources and Technology, and on Program and Communication. New curricula were developed - e.g., Project Renaissance (an interdisciplinary, living-learning program limited to freshman students), honors courses, faculty-initiated interdisciplinary majors, expanded internships, increased opportunities for study abroad - to distinguish Albany's undergraduate academic experience from that offered at competing institutions. Other core aspects of the undergraduate academic experience were substantially reformed - e.g., General Education. And special programs were instituted to increase faculty contact with students outside the classroom, as well as with prospective students.

To send a clear message throughout the institution of the critical importance of enrolling and retaining a strong student body, President Swygert created a campus-wide enrollment management working group, chaired by the Senior Assistant to the President. This group, composed of the line officers for the principal student service units in each of the University's organizational divisions, was instrumental in bringing immediate attention to a variety of issues involved in admissions, enrollment management and planning. Programs were created, student services were improved, administrative units were consolidated and reorganized, and other changes were made to make the entire campus a more welcoming, student-centered community. Positive outcomes were apparent within two years in the increased numbers of freshman and transfer applicants as well as improvements in the freshman class academic profile.

Among the highly successful programs instituted by President Swygert was the Presidential Scholars Program, a special initiative to attract top students to Albany. Applicants are admitted as Presidential Scholars if they have at least a 91 high school average and 1270 combined SATs. Presidential Scholars now receive a number of benefits (e.g., a tuition scholarship, priority registration for courses, faculty mentoring, honors housing, faculty borrowing privileges in the libraries, enrichment programs). Expanded by President Hitchcock, there are currently (1999-2000) 575 Presidential Scholars in the Program.

Building on the success of these initial efforts, President Hitchcock institutionalized the enrollment management function by appointing a full-time Assistant Vice President for Academic Affairs and Director of Enrollment Planning and Retention. Substantial investments (discussed in Chapter V) were made to strengthen recruitment not only in New York, but also in

Strong university teaching and research programs must be nurtured in a modern and supportive physical environment if they are to thrive and grow. Throughout the 1990s, the University at Albany has worked diligently to augment and enhance its physical facilities. As of the beginning of the decade, the Uptown Campus, constructed in the 1960s on the western edge of the City of Albany, had not received any significant rehabilitation or any new building to accommodate the needs of a student population that had grown to more than 16,000, approximately 5,000 more than the campus' original design capacity. The institution's research program had also grown in excess of original expectations, and the modes of instruction had changed in ways that impacted the functionality of classrooms and other teaching spaces. The

4. To address a long-standing disparity between the needs of the academic and research programs and the adequacy of the institution's facilities.

As a result of all these initiatives and investments, the University at Albany has established itself as a highly selective undergraduate institution, poised to become even more selective. Important infrastructure has been established over the past decade for further enhancing the academic profile of our student body, and our success to date gives us confidence that an effective strategy is in place so that increased selectivity is not only achievable, but likely.

Other investments have also been made to create a vibrant student culture for the campus. In 1997, President Hitchcock approved a campus-backed proposal to move the University's intercollegiate athletic program to the Division I level, a decision highly popular with students, alumni, and the Albany community, and in keeping with President Swygert's initiative to move the campus to Division II status in 1994. In 1999-2000, our first Division I year, the University has enjoyed increased student, alumni, and community interest, event attendance, and heightened positive coverage by local media. At the same time, the President directed that recreational opportunities, sites, and equipment be substantially enhanced to encourage increased wellness activities among our students. Much attention has been given to improvements in student housing, the introduction of high-speed internet computing in the residence halls, and changes to the food service. The campus has been sensitive to student health and safety concerns, and proactive in expanding programs to address such issues as alcohol and substance abuse, social development and growth, study skills and academic support services, and student-community relations. Continuing investments have been made to expand and upgrade computer laboratories and public user rooms, to improve student services through the introduction of technologies and integrated administrative information systems, to upgrade and improve classrooms and other teaching spaces, and to provide significant enhancements to library resources, services, and user courses.

surrounding states, and overseas, projecting Albany beyond traditional pools of applicants. A national recruiting consultant was retained to assist in developing more sophisticated, campus-wide recruitment and retention strategies and programs. A new Director of Undergraduate Admissions was appointed and staff were added to the undergraduate admissions office. Initiatives were launched to strengthen relationships with high school guidance counselors and to give increased visibility to Albany's status as a nationally ranked public research university and one of *Money Magazine's* Top 25 "Best Buys in American Higher Education." The University's advisement program for freshman and sophomore students was reformed and improved.

Service has been a defining characteristic throughout the University at Albany's history. During the 1990s, the institution invested considerable energy and effort to strengthen this aspect of the mission. A major theme of President Hitchcock's inaugural address was a call for engagement with each other and those we serve - our students and citizens of New York, our

5. To rededicate ourselves as a campus community to socially responsible participation in our larger communities.

These new buildings and expanded facilities are integral to the University's strategy for attracting and retaining a highly productive and internationally known faculty. The environment being created at Albany has also been instrumental in maintaining and advancing the quality of our academic and research programs and in attracting high-achieving students at both the undergraduate and graduate/professional levels. The State's support and investment in this essential aspect of the institution have been critical in bringing the University to this level of reputation and achievement and will continue to be vital for accomplishing our future goals and aspirations.

But the momentum for much needed capital construction and improvements was dramatically increased in 1996, when President Hitchcock, working with the SUNY Construction Fund, received approval to conduct a \$1 million Master Planning Process to enumerate Albany's current and future facility needs. The Process (described in Chapter II) produced a ten-year Master Plan, the first phase of which has been approved for funding by the Governor and the Legislature. This initial allocation of \$120 million is supporting the planning, design, and construction of a new life sciences building, a sculpture and fine arts facility, a new campus police facility, and a new administration and admissions building that will serve as an attractive and convenient public-friendly "front door" to the Uptown Campus. Planning is also underway for renovating and upgrading selected academic buildings on both the uptown and downtown campuses. Improvements in parking, walk-ways, and landscaping are being made, as well.

This emphasis has produced a striking rejuvenation of campus facilities that is transforming the physical environment of the University at Albany, improving the ability of faculty to fulfill their multiple responsibilities and creating enriched opportunities for students to pursue engaged learning and research. Major renovation and rehabilitation projects have been completed in the residence halls, in a number of the academic buildings, in the Performing Arts Center and the Main Library, and on the Downtown campus. Four major new building projects (described in Chapter VIII) have been completed in the past seven years: the Campus Center Extension, the Recreation and Convocation Center, the Center for Environmental Sciences and Technology Management, and the new Science and Technology Library. The new 58 acre East Campus was also acquired to house the University's School of Public Health and to support the institution's partnership initiatives involving industry and other research institutions in the area of biotechnology and biomedical research.

Downtown Campus was in similar need of rehabilitation and expansion. Appreciating the severe handicap that lack of adequate space and aging facilities placed on the campus, both Presidents Swygert and Hitchcock made capital construction and facilities renovation a major priority.

The remarkable story of the University at Albany's achievements and transformation into a major research university since the last Middle States accreditation review is presented in detail in the following chapters. The narrative and numerical analyses reflect on the institution's journey during this defining period of its history and development, enunciate goals and objectives for the future, and identify the major issues and challenges that must be addressed in

Conclusion

Albany is committed to supporting such continuums of scholarship – intellectual coalitions where faculty and students from multiple disciplines with varying scholarly approaches come together to address areas of common interest – to discover and translate new knowledge, new insights and new theoretical approaches for social gain. For in the final analysis, it is through the quality of the institution's research and scholarship, and the quality of the institution's learning environment, that the University ultimately fulfills its mandate of public service. It is through the quality of our relationships with the communities we serve that our public service mission becomes relevant and of true value to society.

But the importance of these relationships is not limited to the funding or public support that they generate. The opportunities they provide to faculty and students are central to the University's academic and research programs. Our faculty's fundamental research and scholarship have advanced the frontiers of knowledge. Many of our faculty are also deeply committed to the application of new knowledge to assure that discoveries and insights address the many complex issues facing society. As faculty committed to fundamental research join together with faculty committed to the application of new knowledge, major advances can be made. Discoveries in molecular biology can inform public policy; new insights in the humanities can assure the morally responsible use of new technologies; discoveries in chemistry, public health, atmospheric sciences and geology can alter our approach to environmental issues; theoretical advances in physics, business, economics and public policy can impact our nation's competitiveness and the approaches government takes to our country's social agenda; new discoveries and insights in sociology, psychology and education can impact the quality of our nation's schools.

As previously indicated, the University has been resourceful and successful in adapting to a changing fiscal environment. We have been particularly energetic in promoting and investing in initiatives to increase non-state revenues, and inventive in creating new frameworks for relating the campus to the needs and opportunities of our surrounding communities. Our collaborations with government, industry, and other public and private sector partners have been instrumental in bridging the institution in new and fruitful ways to these increasingly important constituencies. These relationships have been important, indeed, essential, for generating new institutional resources. They have also been important in developing stronger public support for the institution during a period of increased accountability throughout higher education.

critical for maintaining the quality and vitality of the University. with our various partners in the private and public sectors, has been, and will continue to be individual research programs, through the academic program, through collaborative ventures national and global colleagues – in a context of great societal change. Service to society, through

the years immediately ahead. The process of assembling these statements and data has been illuminating for all involved, particularly in providing an opportunity to recall and reflect on the institution's progress and the many impressive accomplishments of our faculty and students. From this foundation we are both committed to and optimistic about advancing the University's programs and stature to even higher levels in the first decade of the 21st century and beyond.

The 1990s have represented a period of dramatic and dynamic change and, at times, crisis for the campus. Yet, throughout the decade two firmly established traditions have remained in

In the end, the ultimate measure of Albany's integrity is the extent to which one can easily recognize institutional coherence and consistency in the various programs and planning processes at the University at Albany. This University's mission, goals, and objectives must inform all accounts of its governance and administration, academic programs, student life and support services, faculty research activities, budget and financial resources, and its aspirations for the future. As goals and objectives are specified for the research activities of the faculty or for structures to support those activities – to take one example – those goals and objectives must be not only realistic but also logical extensions of this University's mission and appropriate to the trajectory this University has plotted for its future.

An overarching component of the comprehensive model of self-study is that, in defining its mission, goals, and objectives, as well as in assessing its campus governance and administration, academic programs, student life and support services, faculty research activities, budget and financial resources, and its aspirations for the future, an institution measure itself and its activities against a quality the Commission on Higher Education identifies as *institutional integrity*. Institutional integrity refers primarily to the manner in which an institution specifies its goals, creates and maintains a consultative environment, selects and retains faculty, demonstrates sensitivity to equity and diversity issues, allocates resources, and serves the public interest. Institutional integrity is finally measured by the degree of honesty, openness, and concern for its constituents with which an institution specifies its mission and goals, represents its educational heritage and capacity, identifies the distinctiveness of its programs, and advertises its potential for future growth. At the same time, and especially relevant to the University at Albany's position as a University Center within the State University of New York system, institutional integrity requires absolute candor with respect to a campus' claims about its autonomy in connection with its mission, goals, objectives, academic programs, and resources, about the effectiveness of its governance and administrative structures, and about the extent to which it provides for the intellectual and academic freedom of its multiple constituencies.

This chapter focuses on the University at Albany's mission, goals, and objectives. As defined in *Characteristics of Excellence in Higher Education: Standards for Accreditation* (1994), a university's mission, goals, and objectives are necessarily interrelated and always defined in terms of an institution's immediate and wider community of students, faculty, administration, staff, and governance bodies (campus and, in Albany's case, systemwide governance structures). While reaffirmation of accreditation is based upon an institution's *current* mission, goals, and objectives, the design of a "comprehensive model" of self-study requires that assessment of an institution's current mission, goals, and objectives takes into account the history out of which that institution's current position has emerged and places that current position along a broad but identifiable institutional trajectory for the future.

Introduction

Chapter II CAMPUS MISSION AND PLANNING PROCESSES

• the need to define Albany's character as a mature public research university in such a way as to guide strategic decisions in the years to come as the University seeks to realize the greatness toward which it aspires;

Following discussions of its charge with President Swygert, the Task Force decided that each of the following would be touchstones throughout its deliberations and that each would be reflected in the new *Mission Statement* that the Task Force would draft and then amend following consultation with the entire campus community in public hearings early in 1992:

In the fall of 1991 President H. Patrick Swygert convened and charged a thirty-three member Task Force comprised of faculty, administration, and staff to rewrite the University's *Mission Statement*. As President Swygert acknowledged at the time, there was a growing conviction on the campus that the time had arrived for revisiting the University's then current *Mission Statement*, which was published in January 1977. In addition to campus sentiment, transitions in campus leadership, and the timeliness of such an endeavor in light of Albany's sesquicentennial in 1994, explicit recommendations by both the Middle States Association of Colleges and Schools in 1990 and the Advisory Committee on Campus Priorities in 1991 called for institution-wide review of the 1977 *Mission Statement*. The review was seen as necessary in order to bring the published mission of the University into conformity with, first, the university that Albany had become since 1977, and second, the university that Albany would aspire to be over the course of the next generation. At the heart of the recommendations by the Middle States and Advisory Committees was the sense that the vision of the University at Albany captured in the 1977 *Mission Statement*, while instrumental in directing Albany to a position of state, national, and international prominence by its encouragement of excellence in several highly visible fields of undergraduate, graduate, and professional study that emphasized public policy, had fully served its purpose.

The *Mission Statement* of the University at Albany (1992)

This chapter describes these key planning processes of the 1990s, as well as the Master Planning Process and other related activities that occurred concurrently with the Strategic Planning Process. It also discusses how issues of institutional integrity can be viewed in the context of the University's planning processes.

These traditions have been invoked and extended by the three presidents who have served at Albany in the 1990s: Vincent O'Leary, who stepped down in 1990 after thirteen years in office, interim President in 1995-1996 and has served as President since then. Albany's traditions of planning and consultation guaranteed and sustained open discussion and debate and facilitated consensus among campus constituencies during two of the University's most intense periods of self-scrutiny and institutional evolution during the 1990s: the period during academic year 1991-1992 when the campus created a new *Mission Statement* (1992), and the period between 1996 and 1998 when the campus deliberated and achieved consensus on the strategic values and goals articulated in *Charting the Future: Creating a New Learning Environment for the 21st Century* (1998).

Arguably, many of the campus milestones achieved in the 1990s can trace their origin to the discussions between the Task Force on the University Mission and the campus community in 1992. The *Mission Statement* itself has proven to be an enabling document that has fostered renewal and innovation across the campus' undergraduate programs, encouraged disciplinary mergers and expansions and interdisciplinary collaboration in the Arts and Sciences which were organized into a single college in 1994, provided faculty in the Arts and Sciences and professional schools with the impetus to enhance research and learning opportunities for themselves and their students through their securing of external funding, and supported the University in its bid for capital investment by New York State and for regional and global partnerships that have already yielded such tangible results as the Center for Environmental Sciences and Technology Management (CESTM) and the new "East" Campus which houses, among other programs, the School of Public Health. In terms of Albany's institutional history

Throughout its lengthy deliberations and in public hearings on the University's mission, the Task Force maintained that Albany's new mission statement had to strike a balance between a mission that is clearly defined but narrow and one that is broad but unfocused, extremes that were amply illustrated in mission statements which the Task Force reviewed from a number of its peer institutions. The new *Mission Statement*, which was formally adopted by the President and the campus in May 1992, evolved as a natural articulation of the University community's view of a continuum between Albany's unique institutional history (then some 150 years in the making) and what that history implied for the Albany of the next generation. The *Mission Statement* appears as Appendix 2.1 to this document.

- the need to recognize formally the larger context of Albany's role as a university: it is one of four University Centers of the State University of New York, is located in the Capital Region with all the opportunities and obligations which that implies, and has already established itself as a major public research university;
- the need to acknowledge Albany's traditions and to foreground them while envisioning the University's future;
- that while recognizing campus momentum in areas of current excellence such as public policy, the need to draw attention to areas of distinctiveness on the campus in the core disciplines of the Arts and Sciences, which form the foundation upon which all great universities rest, and to underscore the centrality of the Arts and Sciences to the University's undergraduate mission;
- the need to acknowledge Albany's responsibilities as a regional center of higher education and economic development throughout northern New York; and
- the need to imagine a University rising above the fiscal pragmatics of 1991-1992 (or of any other academic year) so that the vision of the University's future as published in the new *Mission Statement* would be one that, building on the recognition and achievement of the University's recent and distant past, could facilitate a broadening of Albany's institutional horizons.

during the 1990s, the campus' very act of collaboratively creating the *Mission Statement* of 1992 provided a certain sign of institutional maturity that served as a natural and necessary prelude to the University's master and strategic planning processes begun in 1996.

Changing the Physical Environment - The Master Planning Process

In 1996, under the leadership of President Hitchcock, the University at Albany undertook two substantial parallel planning initiatives: the Master Planning process authorized and funded by the State University Construction Fund and a Strategic Planning process. Following the broad-based consultative model taken by the Task Force on the University Mission in 1991-1992 and by Albany's traditional annual budget and resource planning processes, Master Planning and Strategic Planning involved large cross-sections of the campus community in their respective committee structures, in public hearings, and in fora such as the University Senate, the Deans Council, the Rew Roundtable, and the campus' University Council.

The Master Planning Process, initially overseen by then-Executive Vice President for Finance and Business Carl Carlucci, was undertaken in an environment which, despite the remarkable growth in the University's programs, curricula and enrollment since the 1960s, had not seen a new academic building constructed on the Main (Uptown) campus since its completion in 1969. The development of a Master Plan was seen as a necessary first step to the University's overall goal of furthering its national standing. Simply stated, the current facilities and infrastructure could not support the campus' instructional, research, and technological needs. In order to qualify for New York State funds for capital improvements, the Master Plan needed to demonstrate that there would be optimal use made of existing space on campus, as well as clear priorities among the various competing needs of the University. In addition, the plan was subject to prior review and approval by the State University Construction Fund (SUCF).

The University at Albany community had developed many views as to what constituted the most important issues and goals for the University. Therefore, it was important that a consensus be reached among the University's constituencies as to what the University's goals and objectives should be in regard to its future physical facility requirements. In response, a 25-member Steering Committee and four Subcommittees, each with 14 to 22 members, were formed. All committees had broad representation from faculty, administration, staff, and students. The Hillier Group was selected as the campus' consulting planner, and the role of the Steering Committee was to work with the State University Construction Fund and the consultants to reach consensus and determine the most important issues for the Master Plan to address. The four Subcommittees - Instructional and Organized Activities, Research, Student Support Services, and Support Services - represented more specific interests and reported on more specific issues and questions that needed resolution and/or clarification. Consensus was gained in a four-step process - wide-ranging interviews with faculty, staff, and students; open fora and meetings with members of local communities; development of issues; and development of goals and objectives - between November 1996 and March 1997.

A list of 30 Condensed Issues formed the basis of a day-long Goals and Objectives Retreat held by the Steering Committee on March 7, 1997. The issues that had been raised during the interview, inventory and committee review process were discussed and prioritized by the Steering Committee into the Goals and Objectives of the Master Plan:

- To provide sufficient high quality, technologically suitable and flexible instructional space for classrooms, laboratories and their support areas.
- To provide dedicated, flexible research space.
- To develop the campus as primarily a safe pedestrian environment.
- To develop a welcoming, user-friendly campus.
- To assure that the podium's buildings should not be subject to over utilization as a result of their central location and prominence.
- To assure that the Downtown Campus should not be subject to over utilization.

These six comprehensive goals, each supported by its own related objectives, represent both a consensus and a set of guidelines for planning.

Based upon the Goals and Objectives agreed upon at the March 7th Retreat, planning parameters (i.e., a set of guidelines) and several Uptown and Downtown Campus Alternative Concepts were developed and subjected to regular review by the Steering Committee. The Alternative Concepts phase occurred in the spring of 1997 and culminated in one Concept (with some alternative building sites) being selected for testing (i.e., development of the scheduling and conceptual cost estimates for the Concept's proposed projects). This refining phase took place in the summer of 1997. The final phase of the Master Plan included the final presentation and the documentation of all the work done to date on the project. The University's separate and parallel Strategic Planning process worked alongside the Master Planning process to inform the resulting goals, objectives and recommendations.

Although the Campus Master Plan that sets out a facilities program for the next decade involving the construction of new buildings and the refurbishing of existing buildings was completed in summer 1997, Master Planning is an ongoing process and continues under the guidance of Interim Vice President Paul Stec and the Master Plan Steering Committee. The Steering Committee, with broad University representation, continues to meet, evaluate, and direct programming of the various facilities projects that are now underway. The capital improvements that have been identified will ensure a modern and flexible environment for the University's academic and research programs well into the next century. To date, the Governor and the Legislature have authorized \$120 million in capital spending to fund the initial phases of the Plan. Their action, along with the support of SUNY System Administration and the Trustees, is a powerful affirmation for the University's mission as set forth in the 1992 *Mission Statement*, for the University's faculty and students, and for the institution's aspiration to achieve yet higher levels of excellence, service, and reputation.

It should also be noted that, as an outgrowth of the Master Planning process and its findings, the Urban Corridor Study was initiated in early 1998 to address parking and transportation issues along the Washington Avenue and Western Avenue corridors. In recognition of the University at Albany as part of a greater community and in keeping with its

- **Engaged Learning** is the active and enthusiastic involvement of both students and faculty with the learning process—at every stage and level. Faculty and students will come together in a common quest to appreciate the inherited wisdom of the past and to participate in the discovery of new knowledge.
- **Discovery** is the creation, publication and dissemination of knowledge in an environment where research and teaching are viewed as interrelated parts of a holistic enterprise of scholarship, creative performance, and learning.
- **Social Responsibility** is the obligation of the University to respond to the expectations placed upon it by its external community. These expectations include inclusiveness of access, the quality and types of our programs, and the application of our teaching and research to the needs of society.

As the Master Planning process was initiated in fall 1996, the Strategic Planning process was developing along a parallel track. The Strategic Planning process was designed to guide the University at Albany in achieving the higher levels of excellence and reputation to which it aspires. Arguably the most intensive planning process in the history of this institution, the process was an extended self-study into all aspects of the university's history, mission, strengths, responsibilities, and obligations. The 34-member committee, chaired by Provost Judy L. Genshaft, was drawn from every facet of the University, and represented a diverse section of our academic community in terms of disciplinary area, race/ethnicity, and employee and student categories. The process took nearly two years to complete. The Strategic Planning Committee first identified five strategic values consistent with the 1992 *Mission Statement*, Albany's larger institutional history and aspirations, and its capacity as a university. The Strategic Planning Committee defined these values as follows:

A Strategic Plan for the University at Albany—Charting the Future: Creating a New Learning Environment for the 21st Century (1998)

goals to work within that community and promote mutual benefit and neighborly relations, this University-community project is supported by the University at Albany, the State University Construction Fund (SUCF), the City of Albany, the College of Saint Rose, the New York State Office of General Services (OGS), the Capital District Transportation Authority (CDTA), the Capital District Transportation Committee (CDTC), the Albany School District, Crossgates Mall, and several affected neighborhood associations. This study has provided a forum for investigating opportunities to strengthen the pedestrian and bicycle linkages between Alumni Quad and Rockefeller College facilities, as well as between the Uptown and Downtown Campuses. Discussions have explored opportunities for partnerships to increase the general availability of parking in the vicinity of the Downtown Campus, reduce street congestion, and improve coordination between the various bus lines operated by the University, the College of Saint Rose, the CDTA, and the OGS on the same corridor streets. The University is aggressively pursuing the recommendations of the Urban Corridor Study group to provide a unified and expanded bus service to its community while providing incentives to utilize Uptown Campus parking facilities, thereby encouraging public transit and discouraging on-street parking.

No amount of strategic thinking or planning will be successful unless there are well thought-out and clear plans for University-wide implementation. Moreover, leaders throughout the institution must have a serious commitment to effect strategic change by full implementation of the plan. The broad vision of the University's 1998 Strategic Plan is now being refined into specific action items at the division, school/college, and department levels. The President has charged each Vice President and Dean with developing strategic plans for their individual areas of responsibility which will advance the institution-wide goals. Clearly, these plans will build in

The University at Albany's strategic values as defined by the Strategic Planning Committee and accepted by the University community provided a framework from which, following consultation across the campus, the Committee developed a series of strategic goals and related strategic initiatives. As set forth in *Charting the Future: Creating A New Learning Environment for the 21st Century* (provided with this Self-Study), the University's strategic goals reaffirm our commitment to excellence in our undergraduate and graduate programs and to attracting and retaining the best students and faculty. The University is further committed to research that aims to pursue knowledge for its own sake as well as for its practical benefits to society. Engagement with the needs of our region, New York State, the nation, and, indeed, with our global society, is a commitment grounded in our obligation to be responsive to the needs of society. Lastly, throughout the goals enunciated by the Committee is a recognition shared by the campus community of growing competition for resources in our current environment, our stewardship obligation to deploy State resources effectively, and our need to be aggressive in pursuing other sources of revenue.

Coincidental to the Strategic Planning process, the University invited Dr. Robert Zemsky, Director of the Institute for Research on Higher Education and Professor at the University of Pennsylvania, to facilitate a two-day, intensive, Few Roundtable. The Few Higher Education Roundtable focus was on the ability of our institution to sustain its educational values while simultaneously improving quality and containing costs. Again, a cross-section of University administrators, faculty, staff and students was involved in this process. The Roundtable targeted five basic goals: to bring enhanced visibility and thought to the planning process; to translate the strategic values identified by the Strategic Planning Committee into a coherent strategic plan consistent with the University's mission; to define optimal operating procedures within the current fiscal environment; to foster a welcoming environment for our students; and to involve faculty in the University's mission and implementation of the Strategic Plan.

- **Innovation through Technology** reflects the commitment to creatively harness new technologies in the development of innovative curricular programs and pedagogy, and to prepare students to be contributing citizens in a world that is being transformed by technology.
- **Distinctiveness**, reflects the view that the programs we support must not only be distinctive through their adherence to the values of *Engaged Learning, Discovery, Societal Responsibility, and Innovation through Technology*, but also distinguished. While remaining committed to our mission as a comprehensive research university, the value of Distinctiveness acknowledges that choices will need to be made as we continue to invest in programs of strength and importance to our overall mission.

In fall 1997, approximately one year after the University at Albany had begun its capital master planning and strategic planning processes, SUNY System Administration began discussing a plan to conduct "mission reviews" for all 64 SUNY campuses. The idea for mission reviews had its origins in the SUNY Board of Trustees 1995 plan *Rethinking SUNY* and in the July 1997 report of the SUNY Provost's Task Force on Mission Review, *A Template for Rethinking the State University of New York* (copies available in the Document Room). The Task Force had focused on the overall vision for the State University of New York and the distinctive missions of the different sectors of the University and recommended an initiative to conduct a campus-by-campus review and discussion of each institution's mission within the context of the State University's overall mission. According to SUNY Provost Peter D. Salins, the purpose of mission review was "to encourage campus responsibility for higher levels of performance, distinctiveness, efficiency, and System-wide collaboration." In addition, Provost Salins indicated that he intended the mission review process to be a "cooperative and consensus-building process between System and campus staff" resulting in an understanding of the mission of each institution, which would be "carried out with sensitivity to the needs and requirements of our institutions." More specifically, the ultimate outcome of the mission review process is a Memorandum of Understanding between each campus and the System that is expected to "serve as a touchstone for the planning and evaluation of campus programs, and for setting a future course for that institution." For the University at Albany, the mission review process is an extremely important and critical opportunity for affirming the institution's goals, and for securing the System's endorsement and support for our aspirations.

Mission Review (1999)

The Advisory Committee (URPAC) will ultimately be responsible for making recommendations to the President on the allocation of resources based on the University's stated goals and initiatives. It is critical to the University's success to allocate resources based on their potential for advancing the University's broader goals. By acting on our strategic values and especially by making those decisions implied by the value of Distinctiveness in order to realize our strategic goals, the University at Albany should achieve its collective aspiration: in our quality, size, impact, operation, and stature to meet the criteria of a Carnegie Research I institution as well as to qualify for election to the American Association of Universities.

In consideration of the need for a more refined budget and planning process and to provide the necessary linkages between the Strategic Plan and the University's allocation of resources, President Hitchcock established the University Resources and Priorities Advisory Committee (URPAC) in the spring of 1998. As the University's strategic planning continues, the campus will identify specific initiatives to maintain and enhance those academic programs that are already highly ranked nationally and, in addition, to elevate other programs that are strategically positioned to move higher in national stature.

a substantial way on the overarching goals of the 1998 University-wide Strategic Plan, but they also will provide clear division-, school/college-, and department-specific goals and benchmarks so that the University can judge its progress and assess outcomes in achieving its overall goals.

A distinct theme in all dimensions of planning and self-evaluation conducted at the University at Albany has been a concern with how to achieve Distinctiveness. At the same time there has been an emphasis on the issue of how to attain a balance both among the internal components of the University and between the University and society. From its mid-nineteenth century beginnings as a New York State Normal School, this University has been devoted to liberal education oriented toward the practical purpose of preparing literate, informed, and compassionate citizens to be participants in a democratic society. Although the particular context of this mission and the criteria for success have changed considerably over the past 155 years, the central character of the educational mission has endured. This University is committed to the pursuit and advancement of knowledge, for its own sake and for its practical benefits to society. This involves not only institutional devotion to freedom of inquiry but also a commitment to the larger interests of society through acts of public service, and the fostering of the ideals of social justice. The University now seeks to achieve these goals by defining itself as

A university's integrity can be conceived in various ways. In its primary and most narrow sense, the word *integrity* means probity or honesty and adherence to a strict code of behavior. While this definition may apply to an analysis of a university with respect to certain universally accepted values, such as academic freedom, or in terms of the degree to which an institution presents the public with an accurate representation of its commitments and offerings, there are broader aspects of integrity that relate to assessing the mission of a university and determining—to invoke a core value from *Charting the Future*—that university's Distinctiveness. These involve attributes such as autonomy, completeness, continuity, unity, cohesiveness, and coherence. Integrity can be viewed most comprehensively as an integration of these attributes as well as a quality attaching to each. The University at Albany's *Mission Statement*, the Strategic Plan (*Charting the Future*), and the recent Mission Review are all predicated on these attributes which are construed in terms of both the internal character of the institution and its relationship to the public. There is often a delicate balance between these internal and external dimensions of integrity, and these documents are pointedly sensitive to this issue.

Institutional Integrity and *Charting the Future*

The University at Albany was well prepared to conduct the Mission Review. The Strategic Planning and Middle States self-study processes, coupled with the results of our Master Planning process and the insights derived from the Pew Roundtable, all provided a foundation for responding to the questions posed by SUNY System Administration and informed the campus Mission Review process. The University at Albany's *Mission Review* document (provided in the Document Room) reflected, as each of the previous planning documents, the results of careful consultation with and participation of the greater campus community.

The Mission Review document provides a comprehensive review of the campus' research and academic programs, covering a broad range of areas from Albany's distinctive focus on research to the high quality of teaching, partnerships with private industry, a broadened focus on international programs, and enhancements to campus life. A site visit by the SUNY Provost and a team of interlocutors occurred during fall 1999, and the Memorandum of Understanding will be signed during the 1999-2000 academic year.

a comprehensive research university and, more specifically, by achieving national recognition as a Carnegie Research I institution. The goals and the vehicle are, in principle, compatible, but in practice not always necessarily congruent. Thus, an essential part of the strategic planning process has been to produce a vision of how such congruence is possible, not only as a general university purpose, but also as a guide for academic policy directed toward the development of particular elements of the institution.

One manner in which the *Mission Statement* and *Charting the Future* specify the Distinctiveness of the University at Albany is in terms of the campus' location in new York State's Capital and Northeastern corridor and its tradition of addressing significant issues of public policy. This tends to give the campus a special character and provide substantial advantages for its students and the citizens of New York. Further, the University combines highly visible professional schools, such as those in Business, Education, Information Science, Public Affairs, Social Welfare, and Public Health, with a broad university curriculum in the Arts and Sciences. Moreover, it does so in a manner that emphasizes disciplinary convergence as well as the University's role as a regional center of higher education that focuses on establishing linkages with academic, business, cultural, and governmental organizations. A core strategic value of the University is Societal Responsibility and a determination to stay linked to its societal partners. This involves recognizing the needs of the community and accepting the responsibility of structuring our activities to respond to the requirements of our external community with respect to the dissemination of research as well as a continuing commitment to providing diverse educational opportunities for our various constituencies. All of this is reflected in the strategic value and goal of investing in distinctive and distinguished programs that will improve opportunities for external funding in an age of scarce resources and provide competitive advantage by reaching out to external communities in New York State and the nation as a whole, as well as by fostering the international dimensions of the university.

One element of the University's core value of Engaged Learning is that students are understood as participants as well as recipients in the educational process, and this entails the integration of teaching and research. There is a definite commitment to the view that fruitful learning requires attention to both teaching and research and to both the undergraduate and the graduate curricula, but there is also a recognition that there is a tension as well as symbiosis between these elements just as there is between the development of particular disciplinary strength and a continued commitment to interdisciplinary contributions to knowledge. Similarly, while Engaged Learning implies, particularly in a public university, an intersection between the academy and society, integrity also demands a strong degree of institutional autonomy even in the context of a commitment to Societal Responsibility. As in so many dimensions of life, virtue and virtuosity are not necessarily the same. The University's strategic plan emphasizes the fact that the Arts and Sciences and a system of comprehensive general education are integral to every aspect of university learning, but, at the same time, the content of this dimension of the curriculum must reflect the commitment to the integration and ultimate unity of research, teaching, and public service and recognize the needs of specialization in contemporary society. *Charting the Future* stresses that integrity involves coherence in the educational experience and that this requires consistent interaction among levels of education, research, and teaching; the administration of the University and academic development; and the academy and the public.

A basic key to integrity in all its forms is the strategic plan's designation of Discovery, that is, free and motivated inquiry, as the heart of the University and as the foundation of Engaged Learning. Discovery means, in effect, research or the pursuit and advancement of knowledge, but, again, the emphasis is on both practical social benefits as well as on knowledge for its own sake. Given that we are a research university, Discovery is a basic core value, and consequently there is emphasis on productivity in research and publication and on scholarship within the system of university rewards. A principal concern is to effect a general climate in which Discovery will be enhanced. Integrity in such an instance requires that Discovery permeate all levels of educational experience and produce an integrated learning environment, even though creating and maintaining particular distinguished graduate programs must be a prominent tactical goal.

One of the major challenges facing the University at Albany is to find ways, in practice, to reconcile the value and goal of Discovery and the autonomy that Discovery implies with the acceptance of Societal Responsibility, that is, with the obligation of the university to respond to the expectations placed upon it by the external community. Although at a high level of abstraction it is easy to meld these values analytically, it is much more difficult to reconcile their specific manifestations. One of these specifics involves the issue of social diversity and the manner in which the educational and research structure of the University reflects this fact and value. Along with the *Mission Statement, Charting the Future* is, however, clear in stating that while the University is committed to universal values such as the life of the mind and to equal opportunity in pursuing that life, it is necessary to eliminate various barriers to access that relate to a handicapping condition, economic situation, and factors such as gender, race, religion and sexual orientation.

Although Innovation through Technology is a more specific value than Discovery, it is a key element of the University's commitment to deal with change, enhance Discovery and Engaged Learning, and keep pace with the demands of Societal Responsibility. In addition to the manner in which information science and other forms of technology touch every aspect of the functioning of the University and the conduct of the educational process, technological innovation is today at the heart of any major research university, and it is a central element in formulating, implementing, and maintaining the distinctive and distinguished programs that are the hallmarks of such institutions.

Achieving integrity requires that an institution make difficult choices. While integrity implies inclusiveness and synergy among the diverse elements and levels of this or any other university, inclusiveness has its limits both in principle and in the context of available, and increasingly scarce, resources. Although comprehensiveness is one of Albany's continuing goals, it is being pursued by strengthening programs that have achieved excellence and providing significant support for those that are evolving toward excellence. One aspect of integrity is internal and external forthrightness about the application of this criterion in developing academic policy and managing change.

Integrity requires an institution's linking of often relatively abstract strategic values with entailed goals that are meaningful and realistic within the actual institutional setting. Designating certain goals that would inform all aspects of university life requires, at least

The Middle States Commission on Higher Education notes that a basic characteristic of excellence in an educational institution is the clear expression and active pursuit of its mission and goals in relation to its students, its staff, its supporters, and its community-at-large. It has also stressed that goals need to be stated in terms of outcomes they seek to achieve and that they are clear, identifiable with the institution, honestly promulgated in terms of means and results, and practically applied. In addition to specifying concrete goals and the thematic coordination of goals, the University at Albany has sought to identify strategic initiatives that would facilitate each goal. Further, individual colleges and schools have been charged with developing strategic plans that include specific initiatives and measurable outcomes in the context of the University-wide strategic goals. Through the *Mission Statement and Charting the Future*, and its current use of the University Resources and Priorities Advisory Committee to advise campus administrators on issues of resource allocation, Albany has ensured coherence between its strategic values and its strategic goals and initiatives for achieving those values and goals. This coherence is perhaps most definitively manifested in the campus' recent Mission Review. If it was fair to suggest at the opening of this decade that the University at Albany's "great story" had yet to be shared with a wider audience, it must be said at the close of this decade that Albany has made incredible progress not only in telling its story, but also in refining and advancing its campus governance and administration structures, academic programs, student life and support services, faculty research activities, and management of budget and financial resources in ways that are now meriting substantial national recognition for the University.

implicitly, rejecting or devaluing others and, as in seeking Distinctiveness among state and national institutions, not acting simply on the principle of equal allocation. Integrity also requires coordinating goals and finding ways of achieving thematic coherence. Given both the past history of this University and current external demands and opportunities, *Charting the Future* has focused not only on attaining national research status, but also on directing efforts and resources toward international programs and assuring that the campus acquires and fully supports the utilization of state-of-the-art technological resources. In this way, six strategic goals — a coherent and distinctive undergraduate experience, distinguished graduate and professional programs, national and international research reputation, societal responsibility, a student body and academic profile comparable to the most selective major public research universities, and an expanded and diversified revenue base — will be achieved.

Chapter III CAMPUS GOVERNANCE AND ADMINISTRATION

Introduction

The University at Albany is the senior campus of the largest, centrally managed system of higher education in the country. As one of four university centers in the State University of New York (SUNY) system, Albany offers undergraduate and graduate education in a broad range of bachelor's, master's, doctoral, and certificate programs offered by the University's eight schools and colleges.

New York State's unique system of education is characterized by complex interrelationships among the New York State Education Department, the SUNY System Administration, and the University at Albany; all three of these organizations are located in Albany, the capital of New York State. Every educational institution in New York, from elementary schools to universities, public and private, is part of a legal entity called "The University of the State of New York." The governing body for this entity is the Board of Regents, and its administrative head is the Commissioner of Education. The New York State Education Department is the administrative arm of the Board of Regents.

The State University of New York (SUNY) is made up of 64 different units, ranging from medical schools and university centers to four-year and two-year colleges. The governing board for the State University is the Board of Trustees, and the administrative head of the SUNY system is the Chancellor, Mr. Robert King. The SUNY Board of Trustees has the same organizational relationship to the Board of Regents as do boards of trustees of private institutions such as Columbia or the University of Rochester.

The Board of Trustees, State University of New York

The State University of New York is governed and all of its corporate powers exercised by a Board of Trustees. Its present powers and responsibilities emanate from the New York State Education Law, Title 1, Article 8, as of April 1, 1986 (available in the Document Room). However, this body has its origin in legislation passed by the New York State Legislature on March 12, 1948, establishing the State University of New York (SUNY), effective July 1, 1948. Governor Thomas Dewey signed the bill on March 30, 1948; and on the following August 16, he appointed a temporary fifteen member Board of Trustees for the new system of thirty-two existing public colleges.

Since then, the Board of Trustees has undergone many changes, including, among others, membership composition, appointment procedure, duties, and responsibilities. The Board presently comprises sixteen members, fifteen of whom are appointed by the Governor with the advice and consent of the state Senate; and one of whom is the President of the Student Assembly of the State University, ex-officio (list of current Trustees is available in the Document

Each state-operated campus of the SUNY system has a University Council, appointed by the Governor. This body is mandated by Article 8, Section 356 of the New York State Education Law, which provides for the establishment of a local council to supervise the operations and affairs of each state-operated institution of the State University (text of Article 8, Section 356 of the New York State Education Law available in Document Room). At the university centers, this body is called the University Council and at the state colleges, the College Council. These councils function subject to the general management, supervision and control of and in accordance with rules established by the State University Trustees. Nine of the ten members of the Council are appointed by the Governor for seven year terms. The tenth member is a student elected for a one-year term by and from the students enrolled at the institution. The chair is appointed by the Governor.

At Albany, the Council holds regular meetings six times during the academic year, and occasionally holds a special meeting if necessary to conduct its business. In addition to the council members attending the meetings, the campus President and Vice Presidents are invited to attend, as are representatives from the alumni and faculty. The alumni

The University Council, University at Albany

During the 1990's, the SUNY Board of Trustees, like many higher education governing bodies across the country, became increasingly concerned with such areas of public concern as institutional accountability and escalating costs. The Trustees have moved aggressively to emphasize increased private fund-raising by constituent campuses, increased entrepreneurial activities on the campuses, and the devolution of many areas of responsibility and oversight to the campus level. This devolution has provided campuses with the enhanced flexibility - both fiscal and programmatic - so critical to their continued growth. They have also sought to promote the involvement of SUNY institutions more directly in the economic development of New York and in the movement to reform elementary and secondary education, especially in the area of teacher preparation programs. There is every reason to believe that this proactive and enabling philosophy of the trustees will become increasingly pronounced.

The Chairman and the Vice-Chairman are designated by the Governor. Trustees serve terms of ten years, except for the student member, and vacancies are filled for unexpired terms in the same manner as original appointments. Trustees receive no compensation for their services but are reimbursed for expenses they incur in the performance of their duties. The Board holds at least two public meetings each year in order to receive testimony and statements from concerned individuals about University issues. The Board may elect an Executive Committee of not less than five members (one must be the student member of the Board), which, in intervals between meetings of the Board, may transact such business of the State University as the Board may authorize, except to grant degrees or to make removals from office. Rules and regulations promulgated by the Board of Trustees for operation of the State University, once filed with the Secretary of State of New York, have the force and effect of New York law. (For further details of the statutory responsibilities of Trustees, see Title 1, Article 8 of the New York State Education Law available in the Document Room.)

representative is selected by the Alumni Association Board of Directors for a multi-year term. The faculty representative is the Chair-elect of the campus University Senate, and serves a one-year term.

In addition to the formal meetings of the Council, the President and Council Chair speak and meet frequently throughout the year on issues, incidents, reports, and other matters which may be related to the responsibilities of the Council. Council members are invited to the University's numerous cultural, educational, and social campus events and are active participants in official ceremonies and programs such as graduation, special convocations, etc. Council members are particularly involved in campus-sponsored community programs.

The Council at the University at Albany has three working committees, each staffed by the appropriate Vice President: Student Life, External Relations, and Finance and Physical Plant. Three members of the Council serve on each of these committees along with the alumni and faculty representatives. In practice, items which may require Council action or in-depth study are brought first to the committee for preliminary review. Any action that may be sought is accomplished only through the full Council. Each year, the Council submits a report of its activities including all agendas and meeting minutes to the SUNY Trustees and the Chancellor. During the year, there may be additional contacts and communications between the Albany Council and SUNY on topics of mutual interest. In 1997, the SUNY Trustees put in place a formal process of performance review of campus Presidents. This process empowers the local Council to provide evaluative comment about presidential performance.

One of the most important responsibilities of the Council is its role in the selection of the campus President. In 1990 and again in 1995, the Council invoked its powers to recommend a candidate for the Presidency. It formed a search committee of faculty, students, staff, alumni, and community leaders in the interviewing of candidates and eventually led to the recommendation of a campus President.

While the duties of the Council are prescribed by law, the President has encouraged members to be actively engaged in campus activities and has fostered their personal affiliation with the institution. The members are contributors to the University's fund-raising efforts and leaders of our advancement and development initiatives in addition to their roles as Council members. The President meets informally throughout the year with individual Council members to maintain a free flow of information and views on topics affecting the campus. Members have served as advocates for the University through their contacts with the Governor, legislators, and community leaders. The Council at Albany has been an important and effective body working on behalf of the University and its future.

The members of the Council are prominent citizens, most usually from within the Capital Region, and reflect the diversity of our region, including women and men, members of minority as well as majority communities, alumni, business people, and professionals (list of current Council members is available in the Document Room). The current make-up of the Council includes six lawyers, two of whom are based in New York City. The Council chairs have been

Many of the routine academic activities of the University, such as course approvals, standard curricular changes, student requests for waivers of requirements, and student grievances, are handled primarily by the Senate and its Councils, without the involvement of the campus administration. In dealing with more substantive policy issues, the Senate serves primarily as an advisory body, recommending actions on which the President has the final decision. Such issues include the initiation of new programs, policies dealing with non-academic concerns of the University, and strategies for administering the University's educational program. The President and Provost consult regularly with the Senate's Executive Committee regarding administrative concerns that do not fall within the purview of particular Senate Councils. In addition, they have consistently placed Senate representatives on their different advisory committees and task forces that are created to address specific issues, such as facilities planning, budgetary priorities, and the articulation of the University's mission. The creation of such committees outside the existing

The Senate has created various councils to supervise the detailed work of governance. Eight such Councils currently exist: the Council on Educational Policy, the Undergraduate Academic Council, the Graduate Academic Council (which is the central policy body for all graduate education), the Council on Research, the University Community Council, the Council on Academic Freedom and Ethics, the Council on Promotions and Continuing Appointments, and the Council on Libraries, Information Systems, and Computing. Each Council is made up of a specified number of senators (one of whom serves as chair), members drawn from the faculty and professional staff at large, and student representatives. The Councils have in turn established standing committees to focus on specific issues and to handle routine business. Membership on the standing committees is drawn primarily from outside the Senate itself. The organizational structure of the Senate and its constituent bodies thus provides substantial opportunities for the involvement of faculty, staff, and students in the governance process.

The University Senate, composed of faculty, students, and professional staff, oversees the internal governance of the University at Albany, according to the guidelines set forth in the *Faculty By-Laws* (available in the Document Room). The Senate's primary responsibility is to develop academic policies and recommend actions regarding the educational and academic concerns of the University. The elected membership of the Senate is drawn from the faculty and professional staff (34 senators), the undergraduate student body (14 senators) and the graduate student body (1 senator). A number of University administrators also serve as ex-officio members of the Senate. The business of the Senate is organized by the Senate Executive Committee, which consists of the Senate's elected officers, the chairs of Senate Councils, and the University's elected representatives in the SUNY-wide University Faculty Senate.

University-Wide Internal Governance

notable civic leaders including, for example, the former mayor of Albany and a former judge. The current Council Chair, George M. Philip, is an alumnus of the University, an attorney, and heads one of the nation's largest public pension organizations, the New York Teachers Retirement System. As Chair of the Council, Mr. Philip also serves as an *ex officio* member of the Board of Directors of The University at Albany Foundation.

The College of Arts and Sciences (CAS), by far the largest of the five units, has the most active governance structure. In the College, six standing committees work in liaison with the Dean's office (Academic Planning, Academic Programs, Academic Support, Faculty Development, Nominating, and Promotion and Tenure); however, the composition of these committees is determined within the Faculty Council. Committees report to the Council as well as, and in some cases prior to, reporting to the Dean. The CAS Faculty Council meets monthly during the academic year, calls at least one all-College faculty meeting each year, empowers its Executive Committee to represent the faculty during summer months, and has developed a working relationship with the Dean of the College. The Dean, or his representative, is an *ex officio* member of the Council and each standing committee except Promotion and Tenure (in keeping with UVP guidelines). By mutual agreement, however, the Dean has chosen to allow the Council to act autonomously within the framework of consultation and communication. During 1998-99, the Faculty Council revised the bylaws for the College, a process which has led to significant changes in the way the Faculty Council works. These changes, ratified by the

and diversity and recruitment. The School of Business adds committees on teaching and on diversity; the School of Education includes an awards committee; the School of Public Health adds committees on student affairs and promotion committee. The School of Public Health has bylaws and a SPH Council with elected faculty representatives and the Council meets monthly with the Dean. Standing committees roughly parallel those in other Schools and Colleges and include committees to evaluate research proposals, academic programs and curricula, and promotion and tenure. The School of Education has bylaws, a Faculty Council with an elected Chair, and a series of standing committees that are on the same level in the governance hierarchy as, but separate from, the School's Faculty Council itself. The Dean may call the Faculty Council together, but the group does not otherwise meet unless there is an issue of concern. The Faculty Council at Rockefeller College has been dormant for several years, although it does have a tenure and promotion committee. The School of Public Health has bylaws and a SPH Council with elected faculty representatives and the Council meets monthly with the Dean. Standing committees roughly parallel those in other Schools and Colleges and include committees to evaluate research proposals, academic programs and curricula, and promotion and tenure. The School of Business has bylaws, governance that involves both standing committees and ad hoc committees, and a Chair of the Faculty, but no Faculty Council; the Chair of the Faculty coordinates the committees and the Dean communicates through committees to the Faculty. The School of Education has bylaws, a Faculty Council with an elected Chair, and a series of standing committees that are on the same level in the governance hierarchy as, but separate from, the School's Faculty Council itself. The Dean may call the Faculty Council together, but the group does not otherwise meet unless there is an issue of concern. The Faculty Council at Rockefeller College has been dormant for several years, although it does have a tenure and promotion committee. The School of Public Health has bylaws and a SPH Council with elected faculty representatives and the Council meets monthly with the Dean. Standing committees roughly parallel those in other Schools and Colleges and include committees to evaluate research proposals, academic programs and curricula, and promotion and tenure. The School of Business adds committees on teaching and on diversity; the School of Education includes an awards committee; the School of Public Health adds committees on student affairs and diversity and recruitment.

Among the eight Schools and Colleges at the University, forms and processes of faculty governance vary widely. Given the differing size and natures of these academic units, this diversity of governance patterns is not surprising.

Faculty Governance Processes in the Schools and Colleges

The existing structure of faculty governance thus interacts with campus administration in an atmosphere of collegiality and collaboration, and has proven effective in giving faculty a strong voice in the development of academic policies and priorities.

Senate structure has the potential to limit the impact of University governance on some issues; but the collaborative approach of campus administration in defining the membership of these committees has prevented such a problem from arising.

College faculty by mail ballot after discussion and approved by the Provost and President, generally strengthen continuity in the governance structure and specify the succession of an elected Vice-Chair to Chair in the following year. In addition, they create a standing Nominating Committee to draw on more of the service talent available in the College, and make more specific the composition of the Promotion and Tenure Committee, among other changes.

Administrative Organization of the University at Albany

The chief administrative officer of the campus is President Karen R. Hitchcock. As shown in the attached organizational charts, Figure 3.1.a-e of the campus, the organization is divided among five vice presidential divisions and the President's office. Four support offices report directly to the President: Affirmative Action, Institutional Research, Governmental Relations (see below) and Internal Audit. The five vice-presidential divisions comprise the administrative enterprise. They are Academic Affairs, Student Affairs, Finance and Business, Research, and University Advancement. Their present vice presidents are all appointees of President Hitchcock and meet weekly with her as the University's Executive Cabinet.

In the past decade the University has undergone numerous administrative and organizational changes during the administrations of President H. Patrick Swygert and President Karen R. Hitchcock. Key examples of these changes and brief rationales are provided in Table 3.1.

Given the increasing importance of the University at Albany's involvement with executive and legislative bodies at both the state and federal levels, one of these organizational changes deserves particular emphasis. In 1996, President Hitchcock created the Office of Governmental Relations in order to highlight and expand the interactions with state and federal government which are so critical to the future of the University at Albany. As a member of the President's professional staff, the Director reports directly to the President. In 1999 the University hired an Assistant Director of Governmental Relations who reports to the Director and assists with the strategic initiatives of the Office.

The mission of the Governmental Relations Office is to serve the campus community of faculty, students and staff by acting as a representative and advocate of the University and its programs before all levels of government. Because the primary role of the office is to increase resources available for University programs, the office supports the university mission as well as the values and goals of the University as defined by the University's Strategic Plan. The Governmental Relations Office, the University's primary link to government, is also an important link to not-for-profit organizations and the private sector and develops partnerships and builds coalitions which bring resources to University programs. The Governmental Relations Office also interacts closely with a lobbying firm on retainer to the University Foundation to maintain a presence in Washington, D.C. The firm, Policy Direction, Inc., is responsible for tracking higher education research issues in Congress and providing a point of contact for the New York Congressional Delegation inside the Beltway.

Table 3.1

University at Albany

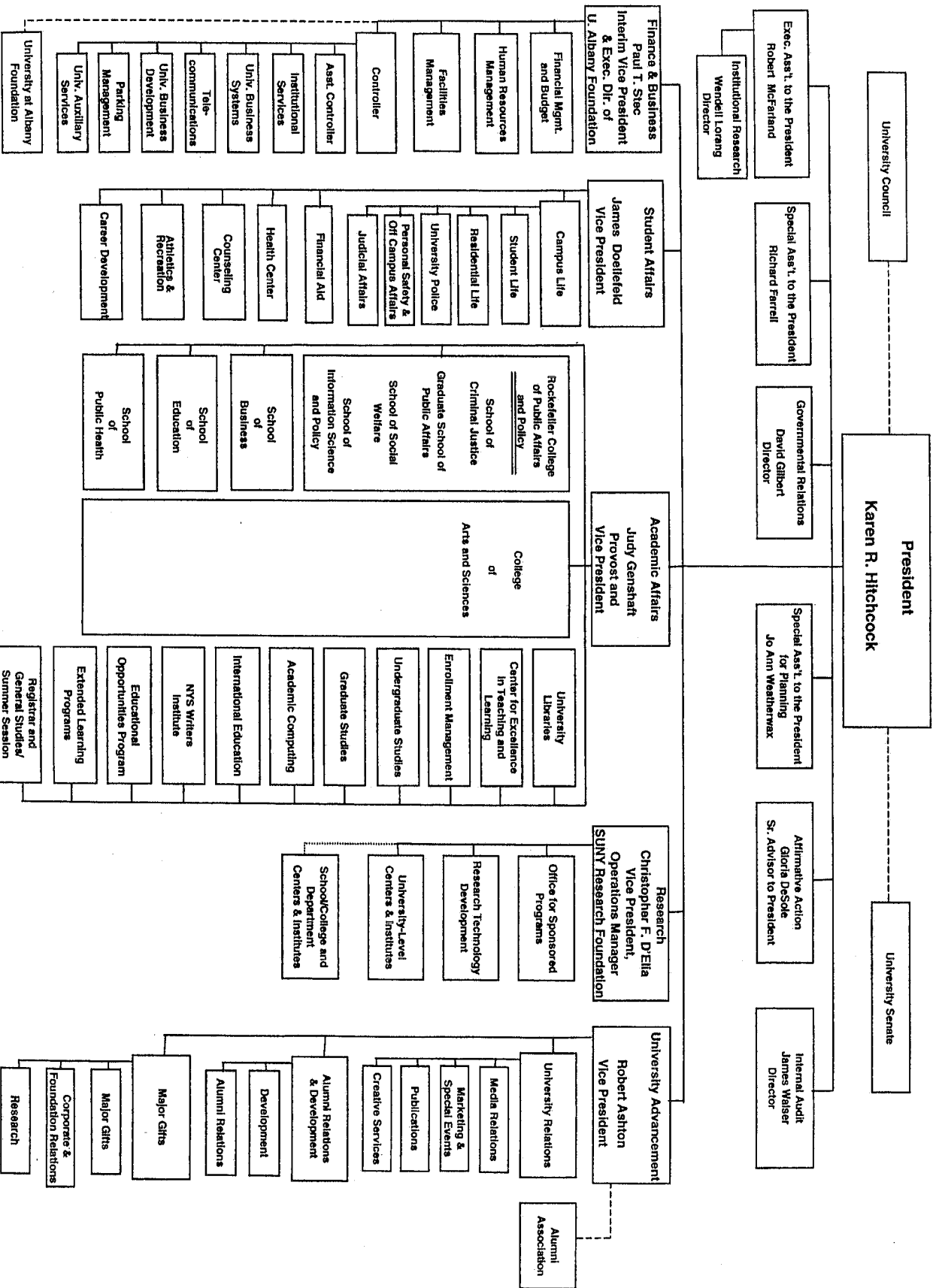


Table 3.1a

Division of Academic Affairs

Academic Affairs
Judy Genshaft
Provost and
Vice President

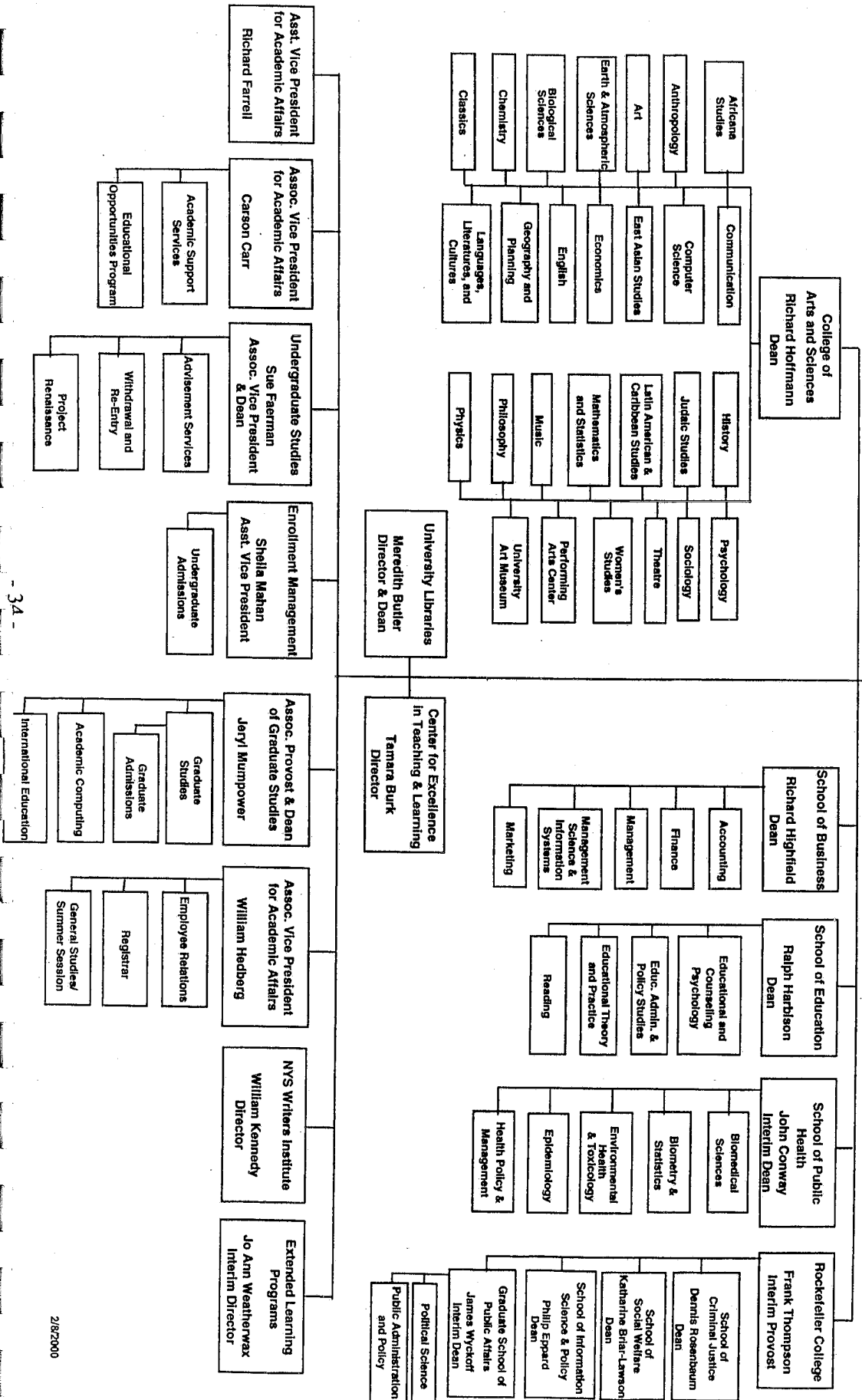


Table 3.1b
Division of Student Affairs

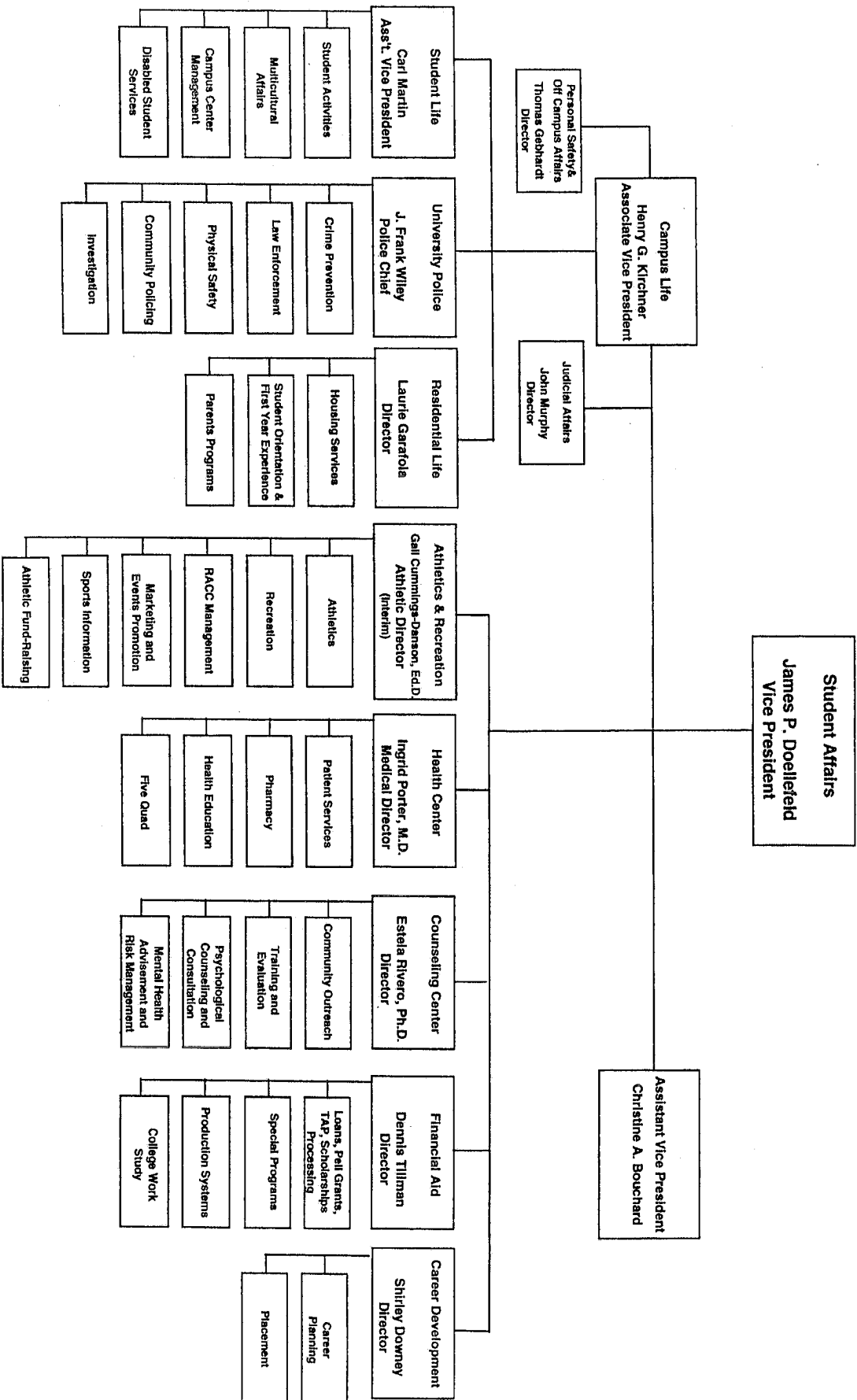


Table 3.1c
Division for Research

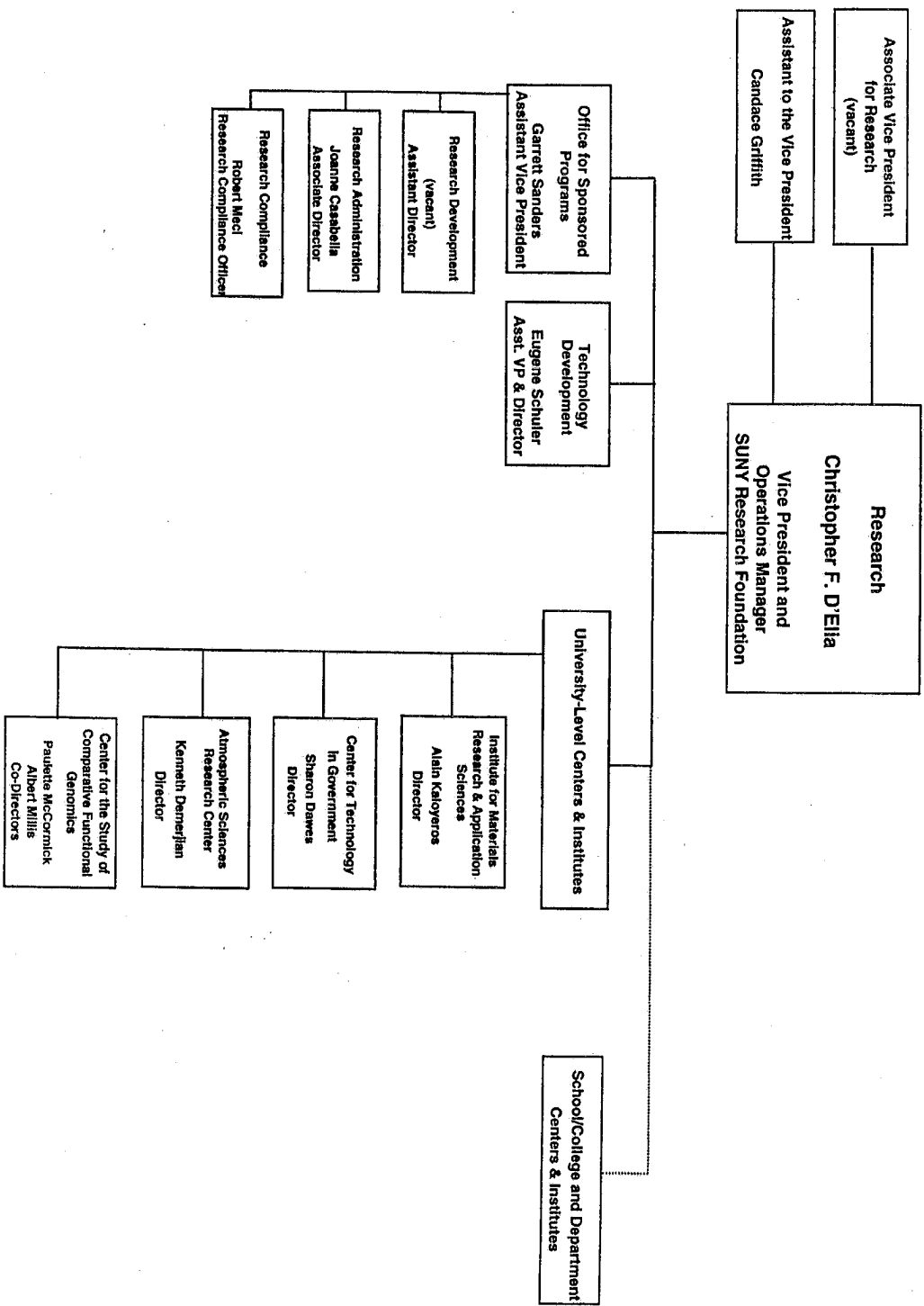


Table 3.1d
Division of Finance and Business

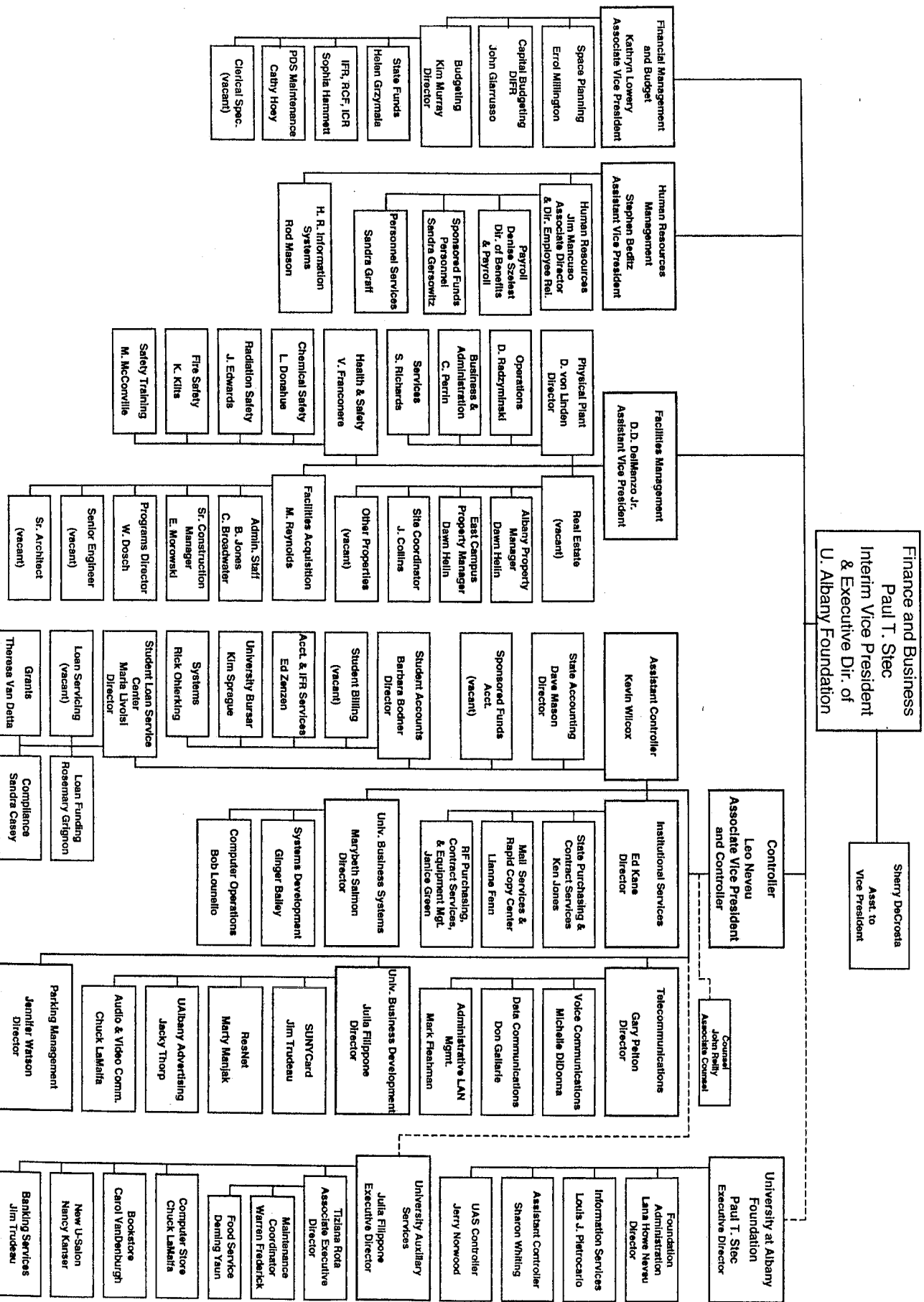
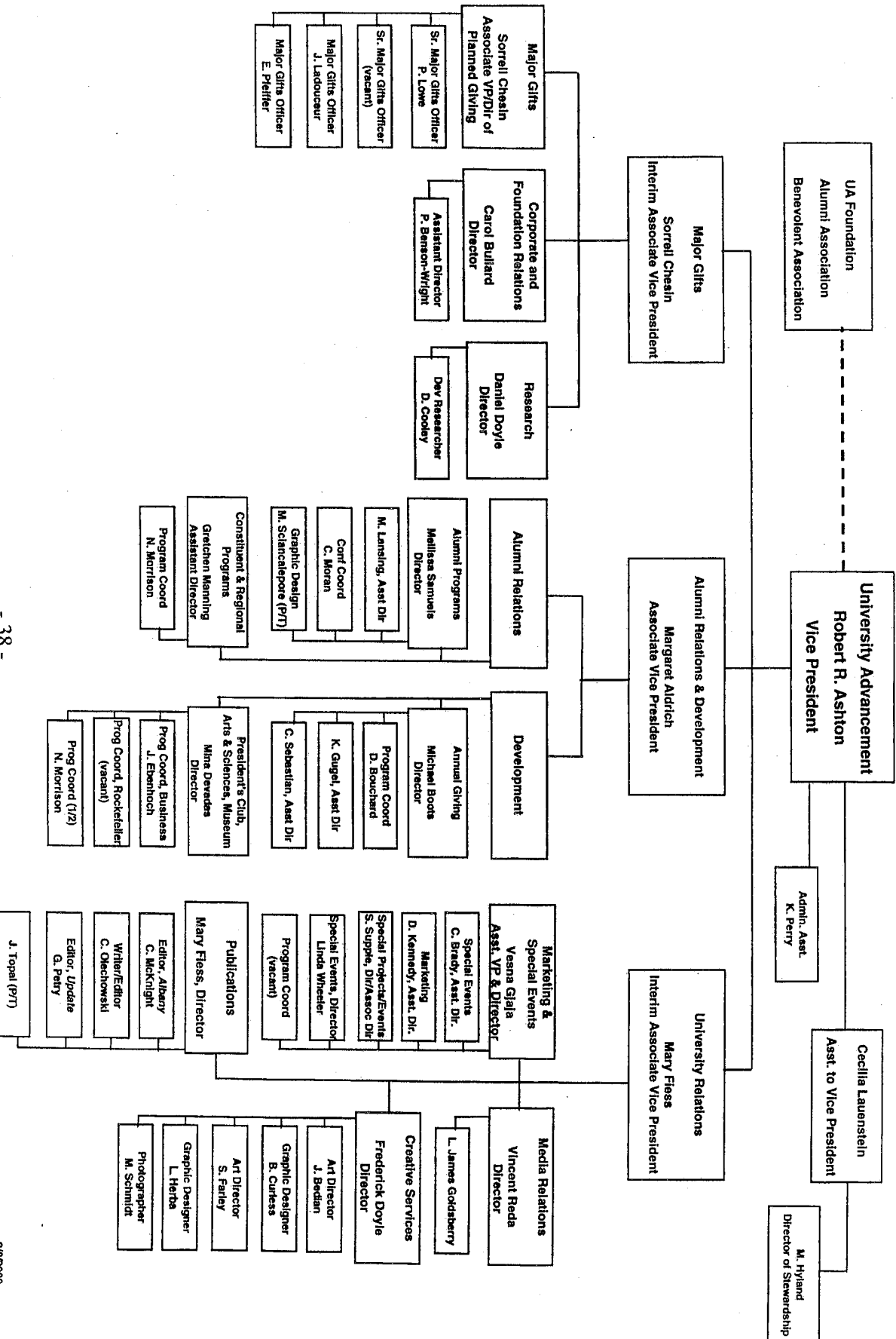


Table 3.1e

Division of University Advancement



Given the widely acknowledged regard in which the University at Albany is held today, both nationally and internationally, it is evident that President Hitchcock has assembled a talented faculty and an effective senior administrative staff. It is a dedicated cadre of scholar/teachers and enabling leaders who are capable of meeting the University's important mission and goals, and fulfilling the President's vision that this University will be successful in becoming, consummately, an "Engaged University" in both deed and reputation.

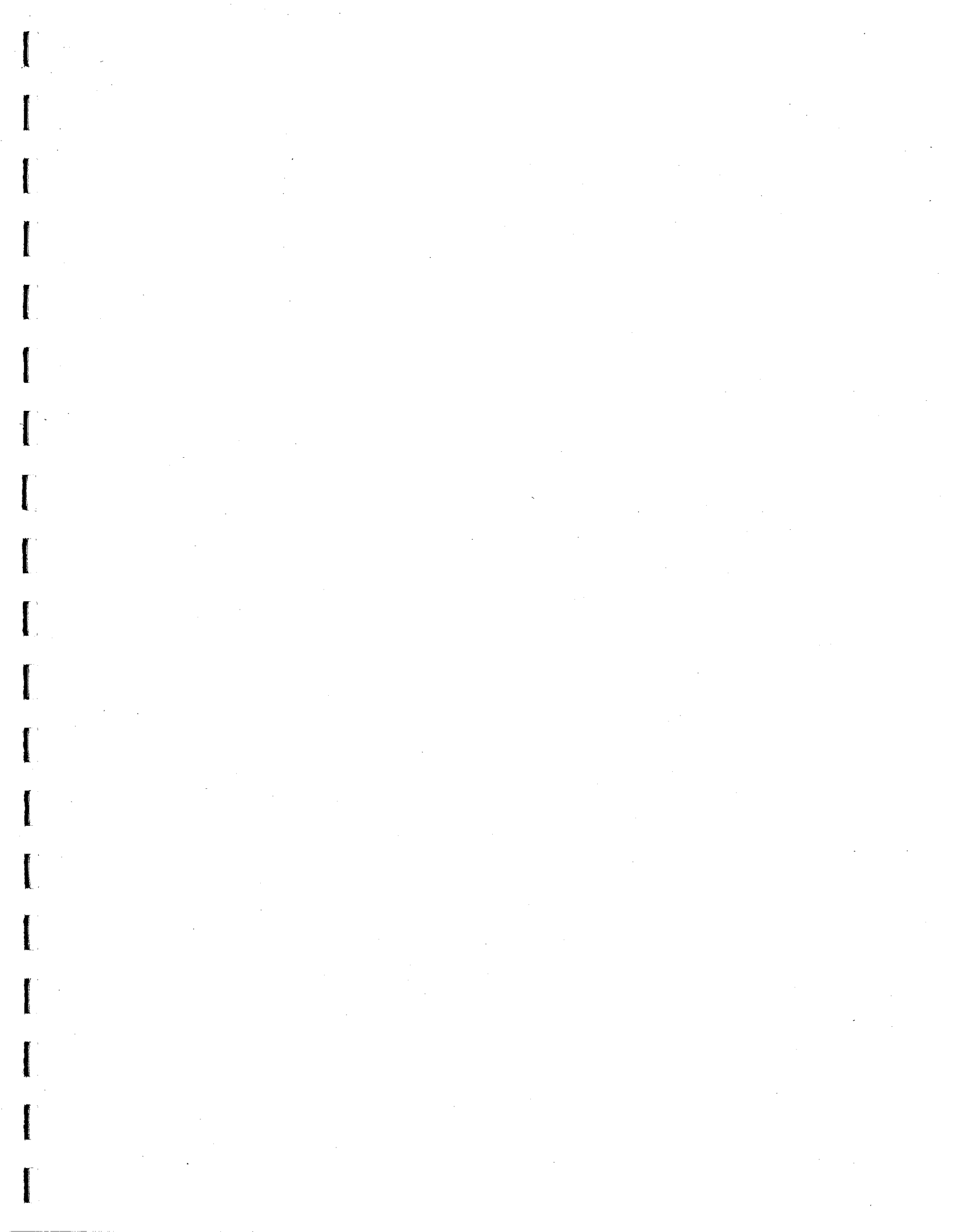
President Hitchcock is a staunch advocate for a strong and involved governance system, and she has developed a constructive and broad-based consultative relationship with the University Senate. Given this close relationship, members of the University Senate are routinely appointed to search committees, task forces, and advisory committees appointed by the President. Additionally, the President delivers reports on the current state of the University at each Senate and Senate Executive Committee meeting, as well as at selected meetings of the Senate's Educational Policy Council.

The University at Albany is, by all accounts, well organized and effectively managed to continue its remarkable progress and accomplishments. It is a premier University Center within the 64 campus State University of New York system. It has attained high visibility with, and enjoys the confidence and trust of, the SUNY Administration, the Board of Trustees, and its own University Council. President Hitchcock has developed an especially productive working relationship with the leadership of the Board of Trustees; at the campus level, the University values its extremely close relationship with an engaged and supportive University Council and its Chair, Mr. George Philip, a most capable and devoted alumnus.

Conclusion

The emphasis, focus and coordination that this Office has provided in support of the University's governmental relations agenda have been extremely fruitful. Interactions with the State Legislature and Congress have provided greatly enhanced resources for the campus, and the engagement of the university with its private sector partners have, in like fashion, greatly enhanced our resources for research and education (for details see Chapter VII).

The Director is responsible for creating a comprehensive legislative agenda which builds strong relationships with government officials in Albany and in Washington on a continuing basis. This Office works closely with the Division of Research to increase research support from federal sources, and the Division of University Advancement to bring together external constituencies such as the business community, the media, and alumni working in all levels of government in support of the University's governmental advocacy efforts. Similarly, the Director ensures that the issues and concerns of the Campus are effectively communicated to System Administration officials so that their mutual interests are in harmony and both can advocate most effectively for public higher education in New York. Further, in order to facilitate campus access to legislatively authorized funding, the Director also acts as a liaison for negotiations with the Division of the Budget, the SUNY Construction Fund, the Office of the State Comptroller, and other state agencies.



Chapter IV ACADEMIC PROGRAMS AND OUTCOMES ASSESSMENT

The Academic Program

The mission of the University at Albany is carried out in fundamental ways through the academic program. In keeping with our tradition and history, the institution offers a comprehensive and rich program of undergraduate and graduate education that encompasses the liberal arts and sciences and selected professional disciplines – business, criminal justice, education, information science and policy, public affairs and policy, public health, and social welfare. The curricula are designed to provide a coherent general education experience, to provide more in-depth education in major and minor fields of study, and to provide graduate education at the frontiers of knowledge consistent with the purposes of a major research university. Albany is authorized to award degrees through 70 bachelor's, 76 master's, and 38 doctoral programs, as well as graduate certificates in eight subject areas and certificates of advanced study (48-60 graduate credits) through twelve programs. The campus has also been a leader in establishing 177 combined degree programs (e.g., B.A./M.B.A., B.S./M.L.S.) that enable students to move efficiently (in five years) through an undergraduate degree to completion of a first professional degree. In addition, joint degree programs with other cooperating institutions provide excellent opportunities for students who wish to pursue professional degrees in medicine and related health professions, engineering, and the law.

A complete listing of the University at Albany's academic programs is provided as Appendix 4.1. The *Undergraduate and Graduate Bulletins* (described in detail in Chapter IX, and available in the Document Room) list the specific objectives and requirements of each degree program.

Resources related to the academic program are managed through the institution's colleges and schools and their constituent academic departments. Current and historical data regarding enrollment, FTE production, average weekly faculty contact hours, overall student/faculty ratios and degrees awarded, are provided on individual departmental profiles, which are maintained by the Office of Institutional Research. A copy of the campus summary profile is provided as Appendix 4.2, and a complete set of profiles will be available in the Document Room.

The integrity and quality of the curricula are maintained through a system of internal and external reviews and approvals. As at most academic institutions, faculty initiate proposals for courses and programs, which are subsequently reviewed and endorsed at the departmental and school or college levels, and by the applicable University Senate Council (i.e., the Undergraduate Academic Council, the General Education Committee, or the Graduate Academic Council). All new and revised programs must also be reviewed and approved by the Senate's Educational Policy Council with regard to congruence with mission. New programs are approved by the University Senate and the Campus President and must then be submitted to the State University of New York System Administration and The New York State Education Department for approval and registration before students can be admitted. Many of the University's academic programs are evaluated regularly by external accrediting agencies. The University's Academic

The current General Education Program, which was established in 1992, requires all undergraduate students, whether pursuing a B.A. or B.S. degree at Albany, to complete a minimum of 24 graduation credits in General Education. This curriculum requires students to take two courses in each of the three categories of General Education defined by the disciplinary areas within the broad domain of the Arts and Sciences: Humanities and the Arts, Natural Sciences, and Social Sciences. This curriculum also requires students to take one course in each of two additional General Education categories: Cultural and Historical Perspectives and Human Diversity. Approved courses in Cultural and Historical Perspectives involve students in the

Albany's General Education Program is designed to promote breadth, coherence, critical inquiry, and public responsibility in the intellectual life of every undergraduate. It promotes breadth through a distribution of courses in the humanities, the natural sciences, and the social sciences. It also promotes coherence by emphasizing historical, social, aesthetic, and philosophical contexts that shape knowledge and culture. It promotes critical inquiry into the assumptions, goals, and methods of various academic fields of study. Furthermore, it seeks to advance public responsibility by emphasizing cultural pluralism, human diversity, a respect for difference, and a commitment to civic dialogue. Finally, General Education aims to develop reasoning abilities; writing, reading, and computational abilities; and interpretive, analytic, and synthesizing abilities, central to the intellectual life of the University.

General Education

This chapter continues by discussing further the principal sections of the University's academic program - namely, general education, the undergraduate major, graduate and professional education and research, international education, and extended learning, identifies specific changes made to the program in the 1990s, and concludes with a review of external and internal evaluations of program quality and outcomes.

The quality of the University at Albany's academic program is reflected in the Chapter VI and in the quality and performance of our students (which are addressed in Chapter V). In terms of productivity the faculty are nationally ranked among the nation's major research universities. While there are strong, viable offerings in all of the University's current fields of study, the campus has particularly notable nationally-ranked programs in accounting, atmospheric sciences, clinical psychology, counseling psychology, criminal justice, education, information science, library science, literacy, materials science, psychology, public administration and policy, reading, social welfare, and sociology. We also have very strong programs poised to move to significantly higher levels of national reputation in niche areas. These include cultural and area studies, life sciences, management, planning, public health, and other selected areas in the social science, humanities and the arts. All these programs are distinctive in that they are interdisciplinary in their approach to research and education, comprehensive in supporting basic as well as applied investigation, and engaged with the world as a living laboratory for the study and illumination of contemporary problems.

Councils also conduct periodic reviews of existing programs; for example, the Graduate Academic Council in 1998 participated in a review of all doctoral programs in the University.

study of cultures, civilizations, or geographic regions as they change through time. Additionally, they provide students with knowledge of various critical approaches to interpreting history and with an understanding of diverse cultural vantage points and world views. Approved courses in Human Diversity relate directly to the experience of students in the contemporary United States or contain components that compare the experience of other cultures. They take in aspects of racial and/or ethnic diversity, including gender-related concerns. They seek to provide substantive knowledge of diversity as expressed through socio-political, ideological, aesthetic, or other aspects of human endeavor. They also help students to understand the sources and manifestations of controversy and conflicts in cultural values arising from human diversity.

These five General Education categories are supplemented by a two-semester writing requirement. A writing intensive course embeds careful writing and thoughtful, supervised, revision within the study of a discipline, but it is not designed primarily to teach the technical aspects of writing. The emphasis is on using writing as a means of sharpening thinking in and understanding of the subject. These courses require students to produce a substantial body of finished work, which typically goes through two or more drafts, and various forms of help are available to students on their work in progress. Instructors respond in detail to at least some extended work of the student. Students must complete their writing intensive courses with minimum grades of C or S. In addition, at least one of the courses must be at or above the 300 level.

This General Education Program is now being modified as a result of SUNY Board of Trustees' Resolution 98-241, passed in December 1998, which established a core general education program across the SUNY system for all incoming freshman, as of fall 2000, and incoming transfer students, as of fall 2002. In the fall of 1998, in anticipation of this development, the University expanded the membership of its General Education Committee to create a General Education Task Force, which was charged to develop a new curriculum that satisfies the Trustees' requirements and at the same time maintains the University at Albany's tradition for high academic standards. This Task Force, converted back to the General Education Committee during the fall of 1999, submitted recommendations to the University Senate in October 1999. Several Councils of the Senate reviewed the recommendations and developed the appropriate implementation legislation, which was passed by the University Senate in December 1999.

The Trustees' mandated curriculum requires students to complete a minimum of 30 credits in 10 knowledge and skill areas—Mathematics, Natural Sciences, Social Science, American History, Western Civilization, Other World Civilizations, Humanities, The Arts, Foreign Language, and Basic Communication—with the expectation that two competencies—Critical Thinking (Reasoning) and Information Management—are to be infused throughout the curriculum. The curriculum approved by the University Senate requires that each student satisfactorily complete a minimum of thirty (30) graduation credits in courses designated as General Education requirements. It includes the following course requirements:

The University Senate legislation that established the current General Education Program assigned responsibility for the program to the Dean of Undergraduate Studies and authorized the creation of a General Education Committee, which is not a governance committee but an advisory group. The Dean, in consultation with the Associate Dean for General Education, the chair of the Undergraduate Academic Council, and others, appoints the Committee, with broad representation of the constituent areas of the program. Ex officio members include the Chair of the Undergraduate Academic Council, the Director of Project Renaissance, a representative of the Dean of the College of Arts and Sciences, and representative students. The General Education Committee conducts assessment of the program and the individual courses, approves and disapproves course proposals for General Education categories, and maintains an ongoing discussion of the program.

The new curriculum adds several requirements to the existing curriculum, including the three courses in National and International Perspectives, one course in Mathematics and Statistics, two semesters or the equivalent in Foreign Language, and courses in Oral Discourse and Information Literacy. In addition, the new curriculum requires that one of the writing intensive courses be completed within the freshman or sophomore year. The current requirement in Cultural and Historical Perspectives is assumed by the requirements for three courses in National and International Perspectives. This new curriculum is currently being reviewed by a 12-member advisory committee, which was appointed by SUNY Provost Peter Salins and includes representation from across the SUNY system. Final authority for approval of the curriculum rests with SUNY Provost Salins.

Foreign Language (two semesters or the equivalent of collegiate study of an introductory language)

(minimum 3 credits)	Arts
(minimum 3 credits)	Humanities
(minimum 6 credits)	Natural Sciences
(minimum 6 credits)	Social Sciences
<i>National and International Perspectives:</i>	
(minimum 3 credits)	U.S. Historical Perspectives
(minimum 3 credits)	Historical Perspectives on Cultures and Regions
(minimum 3 credits)	Global and Cross-Cultural Perspectives
<i>Mathematics and Statistics</i>	
(minimum 3 credits)	<i>Pluralism and Diversity</i>
<i>Communication and Reasoning Competencies:</i>	
(minimum 1 course)	Information Literacy
(minimum 1 course)	Oral Discourse
(minimum 1 course)	Written Discourse
(minimum 1 course)	Lower-level Writing
(minimum 1 course)	Upper-level Writing

General Education has often served as a place for innovation in the University at Albany's academic program. One option for completing a substantial portion of a student's General Education coursework is the Project Renaissance program (a full description of this program is available in the Document Room). Now in its third year, Project Renaissance enrolled approximately one quarter of the freshman class in 1998-99, and is currently planning to stabilize at approximately 400 students per year. This program is an innovative, interdisciplinary, living-learning program, available only to freshmen. Students in each section of Project Renaissance are housed together for the year. In each of their first two semesters, students complete six credits of Project Renaissance courses. These courses are interdisciplinary and team-taught by faculty from the natural and social sciences, the humanities and fine arts, and some of the professional schools. Synthesis is achieved through integration of several General Education categories within a thematic approach that focuses (to date) on human identity and technology. Project Renaissance students complete one-half of their General Education requirements within the program. Since the 1998-99 academic year, Project Renaissance has also offered several pre-professional programs for first year students. These special classes, open to incoming freshmen interested in pre-health, pre-business/economics, and pre-law studies, link a student's particular field (whether science, business, or law) with other subjects, such as literature, sociology, philosophy, psychology, women's studies, anthropology, etc. This interdisciplinary approach provides a well-rounded understanding of the professional field, helping to train students in the articulate, responsible, and humane decision-making skills they will need in order to build and enjoy successful careers.

Another new initiative in General Education was pilot-tested in 1998-99, a two-semester "Foundations of Great Ideas" course offered to Presidential Scholars by a team of nine faculty members from a cross-section of disciplines. Successful completion of the two courses fulfilled two of the student's General Education requirements (Cultural and Historical Perspectives and Humanities and the Arts), as well as one of the two writing-intensive course requirements. In 1999-2000, the course was reduced to a one-semester course, and there is currently discussion about developing a follow-up course for students to take in their sophomore or junior year. The majority of students enrolled in General Education courses are taught by full-time tenured or tenure-track faculty. This aspect of the program was recently examined by the Office of Institutional Research. The analysis showed that 65% of the student enrollments in such courses were served by regular faculty members in the fall 1997 semester, 64% in the spring 1998 semester, 59% in the fall 1998 semester, and 56% in the spring 1999 semester. Instructional resources and modes, proposed class sizes, and syllabi must be specified when a course is submitted for General Education approval. Class size is even more strictly prescribed for Writing Intensive courses.

The University's General Education courses are popular with students. Student demand for such courses routinely exceeds what is needed to meet the minimum graduation requirements. A survey of all students enrolled in General Education courses in the fall 1997 semester established further that most students agree that these courses offer a general introduction to central topics of the field, are appropriate for non-majors, help students to recognize basic concepts and boundaries, provide opportunities to become actively engaged, and acquaint students with multiple perspectives.

Undergraduate Major

The undergraduate major builds on the breadth of the general education program, to provide in-depth education in a chosen field of study. To receive the B.A. or B.S. degree, students must achieve at least a 2.0 average for 30-36 credits in a registered major and a minor consisting of 18-24 credits. The combined major and minor requirements may not exceed 60 credits, half the total minimum for the degree. The University at Albany offers the major in 54 subjects, which are identified in Appendix 4.1 and listed on page 39 of the 1999-2000 *Undergraduate Bulletin*. In many subjects there is a B.A. or B.S. option. A student-initiated, interdisciplinary major is also available. Students normally declare a major after they have earned 24 graduation credits (i.e., at some point in their sophomore year), or on entry to the University if they are transferring from a two-year institution. Many University at Albany students choose to major in more than one subject, depending on their career and personal interests. In such cases, the second major meets the graduation requirement for a minor.

The University Senate's Undergraduate Academic Council has approved 53 minors, which are identified in Appendix 4.1 and listed on pages 42-45 of the 1999-2000 *Undergraduate Bulletin*. A student-initiated, interdisciplinary minor is also available. The course requirements and standards for the undergraduate majors and minors are determined by the faculty appointed to individual departments and programs, subject to review and approval by the applicable school or college curriculum committee and the Undergraduate Academic Council of the University Senate.

Research is a distinguishing characteristic of the University at Albany's undergraduate program, especially in the quality and character of the undergraduate major. The institution invests considerable resources to create an intellectual climate that stimulates and challenges students to be active, rather than passive learners, and to enjoy the satisfaction not only of assimilating the inherited wisdom of the past, but also of participating in the creation of new knowledge. Faculty are expected to incorporate the latest knowledge into their teaching, typically including the results of their own research and scholarship. Students, in turn, are encouraged to participate as full and active collaborators in the enterprise. This exchange is fostered in an environment that is rich with facilities, laboratories, studios, performance and exhibition spaces, and state-of-the-art equipment. The combination – outstanding faculty, engaged students, a rich learning/discovery environment – is central and critical to the institution's comprehensive mission for research, teaching, and service.

We also encourage our students to test their knowledge and skills during their educational program through internships and class field projects. Such practical experiences are a hallmark of the University at Albany's undergraduate curriculum and are supported through a vast network of field placements in private, public, and not-for-profit organizations throughout the Capital Region, and in some cases beyond. The University's location in New York's capital provides students with immediate access to the third largest center of government in the United States. Many students also participate in community service programs. These partnerships help to ensure that our students acquire experience with the issues and essential practical techniques for successful careers in workplace settings that are increasingly complex, diverse, and global.

The University at Albany seeks to foster a life-long commitment to education in every undergraduate student. Most of our graduates pursue and complete a graduate or professional degree within ten years of receiving an Albany baccalaureate. The institution's numerous bachelor's/master's degree programs provide immediate opportunities for students seeking to integrate their undergraduate and graduate educational experience. Our efforts in extended learning, described below, are further ways in which we are making the University and its academic program into a life-long career resource for non-traditional students.

Graduate and Professional Education and Research

Graduate and professional education and research are defining characteristics of the University at Albany as a research university. Graduate education at the institution began in the early 1960s, following approval of the proposal to include Albany as one of the four graduate centers in the State University of New York system. Consistent with the institution's tradition in pedagogy and teacher education, the campus' first graduate programs were predominantly in the education professions. Throughout the 1960s, three or four new doctoral programs were added to the graduate curriculum each year, so that by the end of the decade the number of doctoral programs had increased to 26, while the number of master's programs increased to 52, and the number of certificate programs grew to seven.

Currently, the University offers 38 doctoral programs, 76 master's degree programs, eight graduate certificate programs, and 12 certificates of advanced study. These programs prepare students for successful careers in a broad range of fields. Through their coursework and related educational experiences, students acquire the knowledge and skills for bringing systematic knowledge to bear on professional practice and policy. Students involved in advanced doctoral study enjoy impressive opportunities to engage in research in a variety of disciplines, as well as in many interdisciplinary content areas. Much of the activity is supported by competitive external grants, which provide critical funds for training students in state-of-the-art research settings. Albany faculty are known and highly regarded for the high quality of their graduate teaching, for their commitment to individual students, and for their success in mentoring and placing graduates at the conclusion of their degree programs.

The University at Albany offers the Ph.D., D.A., Ed.D., Psy.D., and Dr.P.H doctoral degrees. In terms of headcount enrollment, the five largest doctoral programs are in psychology, criminal justice, sociology, curriculum and instruction, and educational administration and policy studies. The next five largest are English, social welfare, counseling psychology, physics, and anthropology. A variety of masters degrees are offered: M.A., M.S., M.B.A., M.F.A., M.T.S., M.S.W., M.P.A., M.P.H., and M.R.P. At the master's degree level, the largest programs are in social welfare, educational theory and practice, business, reading, information science, public administration and policy, and public health. Admission to all these programs is competitive, and advance our selectivity, however, will require an infusion of additional resources to provide more competitive stipends for graduate teaching and research assistantships.

Both our traditional and interdisciplinary research programs provide educational experiences that prepare postdoctoral research associates and graduate students, as well as

undergraduate students, for productive and rewarding careers as teachers, scholars, researchers, and practitioners in a wide spectrum of professions. Our graduates are serving in important roles in both public and private institutions, in corporate and small business organizations, in government, and in the non-profit sector throughout our region, in the state and nation, and to a remarkable extent in other countries. Our faculty are constantly looking for opportunities to expand and extend the academic program in new directions. We are evaluating at present a number of opportunities for offering professional master's programs in response to industry needs.

Graduate and professional education is carried out in the context of strong discipline-based research programs as well as in research programs that support both basic, fundamental scholarship and applied kinds of inquiry. These programs are often interdisciplinary in character and involve investigators from a variety of traditional disciplines and professions who are associated through joint appointment to an academic unit, an organized research center, or an institute. Such research collaborations provide a setting where, for example, discoveries in molecular biology can inform public health policy, and insights in the humanities can assure the morally responsible use of new technologies. The approach relates new knowledge in chemistry, public health, atmospheric sciences and geology to more informed approaches on environmental issues. It helps to ensure that theoretical advances in materials science, business, economics and public policy are combined in a concerted fashion to yield positive impacts on our nation's global competitiveness. It facilitates the application of new discoveries and insights in sociology, psychology and education to improve the quality and performance of our nation's schools. These are simply examples of the path-breaking and important research experiences that provide the context for our graduate and professional education. The research activities of the faculty are described in greater detail in Chapter VI.

International Education

As reflected in our Mission Statement and Strategic Plan, the University at Albany is committed to infusing an international perspective and dimension throughout the academic program. This commitment is reflected in the institution's General Education curriculum and increasingly in the upper division and graduate-level courses required for many majors and advanced degrees. Albany has long recognized the importance of global perspectives to its educational mission. The academic program in public affairs has provided the basis for training the professional staff who serve in the legislatures of Brazil and several countries in the Middle East. A long-standing exchange program with the Government of Cyprus has enriched both the campus culture and the academic program. The campus saw the value of combining area and ethnic studies in the early 1980s and over the past two decades has built strong interdisciplinary combinations of faculty and programs focused on selected regions of the world, particularly in Latin America and the Caribbean, and in East Asia. The presence of these programs has been invaluable in enriching the institution's academic curricula and in attracting high quality faculty and students from a wide cross-section of disciplines.

Faculty at the University are expanding on these efforts and engaging many new opportunities to make our degree programs more responsive to needs and opportunities throughout the world. An excellent example is our combined B.A./M.B.A. degree program,

We are actively partnering with industry groups, individual organizations, governmental agencies, our sister institutions, and others to craft, re-package, or simply deliver existing programs which meet their needs. With the growing demand for continuous learning, the University at Albany is reaching out and extending its traditional base of students.

Extended learning is a further way in which the University at Albany is strengthening institutional relationships with the community while, at the same time, expanding our enrollment base. Albany has a rich history of extending its scholarship to local, national, and international communities through volunteer lecture series, credit and non-credit offerings, in-service training programs, professional development offerings, and student and faculty consultancies via field projects, internships, and undergraduate and graduate research-based projects. These important activities are reinforced in the Mission Statement and Strategic Plan. Technology gives us tools to increase inclusiveness and access to our programs. A strong effort has been launched to link our faculty and programs to a student clientele beyond our traditional, residential student through innovative delivery mechanisms. We are increasing accessibility through different combinations of evening, weekend, and intensive course offerings. And we are offering courses and training at off-campus sites and through a variety of technologies including interactive television, satellite, videoconferencing, CD-ROM, and web-based instruction.

Extended Learning

To advance our aspirations in international education, the University's various administrative offices and services dedicated to assisting international students and fostering international programs were recently consolidated into a single unit in the Division of Academic Affairs called the Office of International Education.

Enrollment of international students at the University at Albany, representing 83 different countries, is at an all time high. At present, international students comprise 1.6% of the student body; our goal is to raise that proportion to 5% by 2004. Albany administers more study abroad opportunities than any of the other SUNY University Centers, and we are the largest exporter of students to programs administered by other SUNY campuses. We are, moreover, expanding opportunities for academic study abroad. Our goal, with the help of special Legislative funding, is to insure that at least 10% of each graduating class has studied abroad in a non-English speaking country for one semester.

We also seek to facilitate broader collaboration and scholarly contact in a global context. The University has over 70 active agreements with institutions abroad that provide the structure for exchanging outstanding scholars and students from around the world. The campus is an institutional member of the Fulbright Association and the Institute for International Education. Forty-eight of our faculty (9% of the total full-time faculty) have served as Fulbright Scholars.

which links an undergraduate preparation in the language and culture of East Asia with graduate preparation for careers in human resource management. Each student spends an internship year in Shanghai as part of the program. This initiative has proven to be highly attractive to international corporations, several of which have sponsored students.

At the graduate level, the University has introduced new master's degree programs in public health, biodiversity and policy, conservation, public policy, and taxation. At the doctoral level the Ph.D.s in English, French studies, history, and philosophy were reinstated, and new Ph.D. programs were authorized in biometry and statistics, epidemiology, and information science. The Dr.P.H. in public health was also authorized. We have also initiated new graduate certificate programs in public sector management, policy and analysis, and urban education. Also, as happened with undergraduate education, many of the graduate programs at all levels

Over the past decade the University at Albany has continued to expand and enhance its undergraduate and graduate academic programs. At the undergraduate level, new majors have been introduced in actuarial and mathematical science, Asian studies, Chinese studies, biochemistry and molecular biology, east Asian studies, human biology, Japanese studies, medieval and renaissance studies, religious studies, and urban studies and planning. Additionally, many undergraduate major programs have been substantially revised to take advantage of the influx of new faculty, the explosive expansion of scholarship in all fields, and the availability and introduction of electronic technology to improve instructional content and delivery.

Program Changes in the 1990s

In each of these programs, quality has been ensured through oversight and participation by the University's regular and experienced part-time faculty. In addition, extended learning coordinators are distributed across the campus to assist faculty who wish to expand their programs to these new student audiences, to ensure that students receive advisement and guidance, and to support admission and registration procedures. These coordinators also ensure that students have adequate access to appropriate services, such as the library, regardless of geographic location.

In 1996, the Central Administration of the State University of New York established an on-line capability for all SUNY institutions called SUNY Learning Network (SLN). The University at Albany was the first to convert one of its master's degrees (Curriculum Development and Instructional Technology) to the SLN format. Albany has a number of other courses on-line, as well. Our student enrollment in on-line courses has grown from 32 in 1997 to 246 in 1999. Several more courses are in the planning stages with faculty from a number of areas - e.g., Educational Theory and Practice, Educational Administration and Policy Studies, Classics, Geography and Planning, Africana Studies, the School of Business, Humanities, and the School of Public Health. A complete inventory of current programs will be available in the Document Room.

The University at Albany is the lead campus in the EastNet project, a SUNY video-teleconferencing initiative. Albany currently has three active video-teleconferencing sites housed at our main campus, downtown campus, and East campus. We have partnered to share courses with Oswego, Binghamton, Plattsburgh, Canton, and New Paltz. The video-teleconferencing equipment has enabled us to expand our reach within the SUNY System, and also gives us capabilities to form other linkages with private partners, such as the biotechnology industry, pharmaceutical industry, and the software industry.

In many respects the NRC rankings do not do justice to the quality and strength of the University at Albany's graduate programs. Several of our doctoral programs -- e.g., atmospheric sciences, criminal justice, public administration and policy, social welfare -- nationally recognized as being among the leaders in the nation, are simply not included in the NRC study. The high correlation between productivity and faculty size in the NRC rankings further

consistently receive substantial external funding from granting agencies. have won the American Sociological Association's top book award since 1990; and the faculty Department ranked 12th (journal articles) and 11th (books). In addition, two books by faculty recently published analysis focusing on per faculty journal publications and books, the appearing in the most prestigious sociology journals over the past two decades. In another illustrate, the Department has been ranked among the top five in the nation in publications 21st in the nation. On measures of faculty productivity the Department ranks much higher. To national rankings appear in several well-publicized reports. For example, recent *U.S. News and World Report* overall rankings of departments placed Albany's Sociology department as tied for The Department of Sociology also received a "Strong" NRC rating. Its productivity and

psychology specialization ranked 9th on a national competency test of the clinical specialization. dissertation awards from the American Psychological Association and students in the clinical Department as "Strong," its second highest rating. Additionally, three students won prestigious publications per faculty and percent of faculty with research support. Overall, the NRC rated the faculty was also rated high on scholarship criteria by the NRC, scoring above the mean on more faculty, yet teach fewer graduate and undergraduate students than Albany's program. The ranking into national perspective, the top ranked psychology programs in the NRC ratings have psychology in the top third of all departments in the country, regardless of size. To put this The most recent National Research Council data (1995) placed Albany's program in

University's curricula and faculty. A few selected examples of this external assessment follow. national journals and magazines, and professional organizations have reviewed and praised the organizations has been found to meet their review standards. In addition, federal agencies, graduate program that the University has forwarded for accreditation to national professional continuous reputation for excellence and efficacy. For example, every undergraduate and status as a major public research university, Albany's academic programs have enjoyed a From its earliest days as an institution preparing secondary school teachers to today's

External Evaluations of Program Quality

In this same period, the University discontinued two undergraduate programs and three graduate programs, primarily because of faculty retirements, declining student enrollments, and economic factors. Bachelor programs in medical technology and German were discontinued. The Ph.D. and the M.A. programs in German were discontinued; and the D.A. program in English was discontinued when the Ph.D. program in English was reinstated.

were substantially revised to take advantage of the talents and scholarship of new faculty, the remarkable expansion of and access to new knowledge, and the availability of new electronic technology.

In 1968, the University at Albany was among the first institutions in the nation to undertake a systematic evaluation of all graduate and undergraduate programs on a regular cycle. For the next decade, the university conducted a series of individual academic program reviews leading to the strengthening of many Albany programs, and the termination of several. For many years, Albany maintained a regular cycle of periodic review of individual undergraduate and graduate programs. That system was gradually superseded at the graduate level by reviews conducted by accrediting agencies and the New York State Education Department. In 1997-98, the campus re-instituted a process for periodic institution-wide review of doctoral programs. In that year, the University completed a comprehensive evaluation of all its doctoral programs using both internally and externally available data. The evaluation process identified those programs that appear likely to achieve international prominence through strategic investment, those programs that require some strengthening or adjustment to improve performance, and those that

Internal Evaluation of Program Quality and Outcomes

The University at Albany traditionally ranks in the top ten among U.S. colleges and universities with the highest percentage of CPA candidates with advanced degrees passing all subjects taken. Moreover, graduates of the M.S. in Taxation program are particularly sought after by prestigious accounting firms, including the Big Five.

The Journal of Social Work Education has published three separate studies indicating that the School of Social Welfare is among the top five in the nation, with a doctoral program that "has risen dramatically to the forefront" since its inception in 1984.

There have been nine outside reviews/rankings of programs in criminal justice since 1979. The first 8 of these have been summarized by Jonathan R. Sorenson, Amy L. Patterson, and Alan Widmayer, in their article "Publication Productivity of Faculty Members in Criminology and Criminal Justice Programs," which appeared in the *Journal of Criminal Justice Education* (Spring 1992). Our median ranking across the eight studies was 1st. In addition, the 1998 Graduate School Rankings by *U.S. News and World Report* ranked our program 3rd, behind John Jay College and Harvard.

The Public Administration and Policy program was ranked 1th in the nation in the 1998 Graduate School Ratings by *U.S. News and World Report* (March 2, 1998). In addition, it was ranked 4th in the area of Information and Technology, 7th in the area of Public Administration and Management, and 9th in the area of Public Finance and Budgeting. These ratings are based on reputation as judged by a survey of deans and senior faculty at over 230 Public Affairs Programs in the nation. Our Ph.D. program in public administration is widely recognized as producing graduates who are at the cutting edge of public administration scholarship. In the past six years, five of our doctoral graduates have won prestigious national dissertation awards from the Academy of Management, the Association for Applied Anthropology, the National Association of Schools of Public Affairs and Administration, the Institute for Operations Research and Management Sciences, and the American Education Finance Association.

disadvantages Albany (the Graham-Diamond study discussed in Chapter VI controls for this factor).

would require considerable additional investment to become competitive nationally. The results have been shared with the Graduate Academic Council of the Senate, and with College and School Deans, and will inform strategic planning efforts as part of Albany's on-going academic planning.

In addition, issues of program quality are addressed when new programs and major program revisions are reviewed for approval by the Undergraduate and Graduate Academic Councils of the University Senate, as well as the SUNY System Administration and the New York State Education Department.

In 1978, the University launched a series of student cohort studies that placed the campus in the forefront of assessment research, leading to our national reputation in the area of assessment methodologies. In the past two decades, we have served as a model for best practices in this critical area.

The "Albany Model," as it is widely known, has been instrumental in guiding the assessment efforts of many other post-secondary institutions, particularly in the public sector. The "Albany Model" is data-driven, and its purpose is formative, not summative. The model seeks to relate the college experience to pre-college characteristics (see Figure 4.1). The research also underscores the importance of relating the classroom and related student experiences (i.e., academic, social, and personal) to student satisfaction and success. These assessment efforts, which have been conducted on a continuous basis by the Office of Institutional Research, have given the University a rich array of evaluative databases, including student opinion surveys, cohort studies, and alumni studies. Indeed, study results have helped to inform a variety of innovations and improvements to the University's educational program. Examples of innovations and improvements that resulted or benefited from one or more of these studies include: assessment in the major, living-learning initiatives and programs, faculty mentors, study group program, freshmen seminars, a task force on retention and advisement, freshmen orientation program, writing across the curriculum, freshmen housing, special interest housing, enhanced faculty development, student course evaluation forms and procedures, residence hall improvements, technology enhancements, and student services consolidation/relocation.

Assessment data and the analyses drawn from them have been especially valuable in developing strategies to improve not only the substance and delivery of student services provided by many units in the divisions of Academic Affairs and Student Affairs but also in addressing "quality of life" concerns expressed by students and alumni. In addition to descriptions of student and alumni opinions concerning the Albany experience, these studies have targeted specific programs such as General Education and Project Renaissance. They have also been used to examine selected student populations or topical issues such as baccalaureate recipients who take longer than four years to graduate, student goals, faculty student interaction, the effects of the research and teaching climate on undergraduates, graduating seniors, student attainment in the major, and educational outcomes. Indeed, Project Renaissance, the Presidential Scholars program, the Faculty in Residence program, the major expansion of electronic and computer-related services and the increase of instructional computer-user rooms for students, and the

efforts to enhance recreational facilities were all either directly initiated by or influenced by assessment studies data and reports.

These studies are published as an Assessment Reports series, which is shared with campus managers and governance bodies in order to improve the student experience. Abstracts of all these reports are available on the Institutional Research web site (<http://www.albany.edu/ir/reports.html>). A complete set of the Institutional Research Assessment Report series are available in the Document Room.

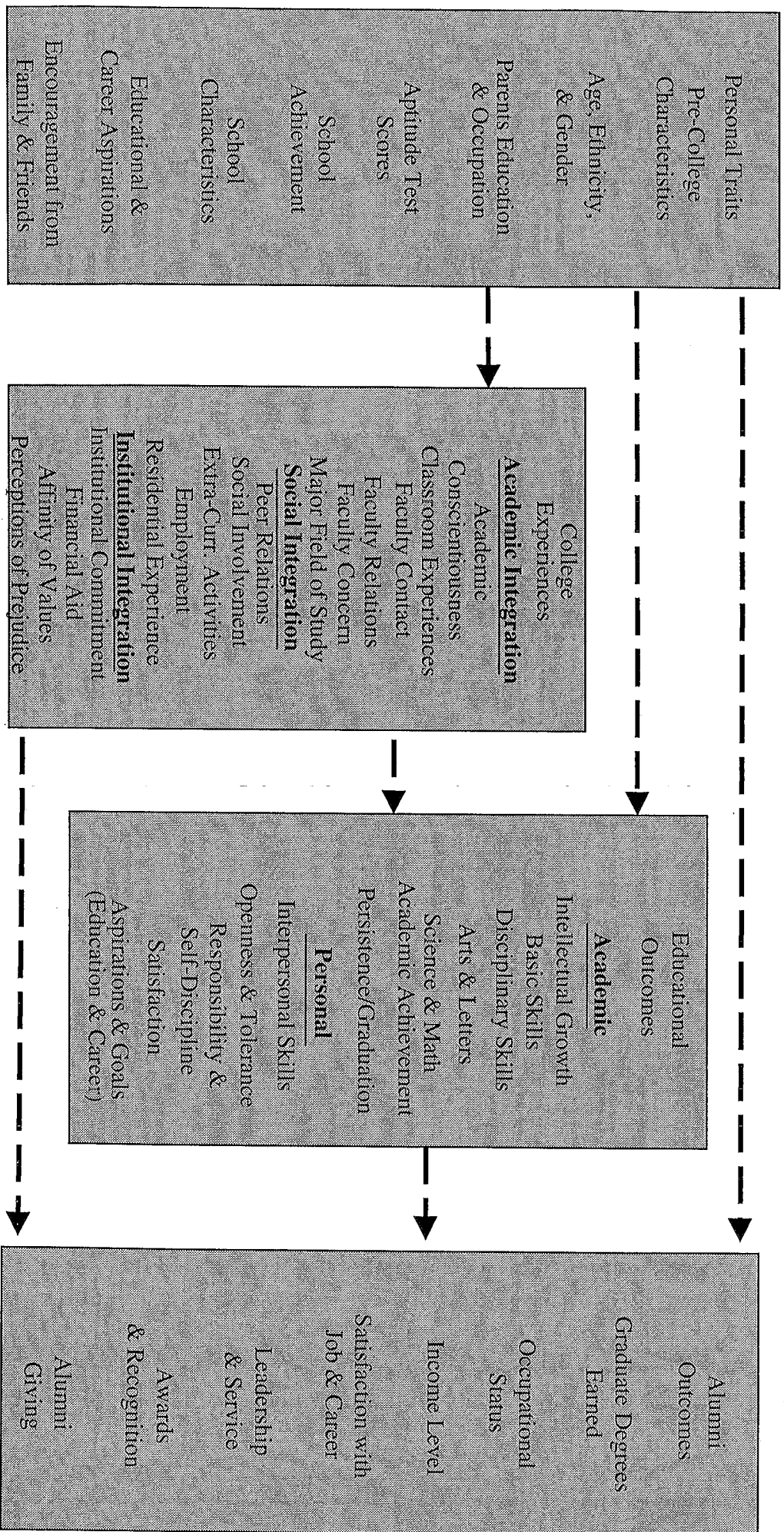
In the last decade, the campus' source of student survey data has come from three administrations of the SUNY/ACT Student Opinion Survey (1991, 1994, and 1997), with a fourth administration scheduled for Spring 2000. The previous Director of Institutional Research was a member of the SUNY-wide committee that oversaw the design of this instrument with ACT. Indeed, much of the SUNY-wide assessment instrument is based upon the "Albany Model." These surveys have provided useful comparative data that are not available with the use of our own campus-developed student surveys.

Following two years of development, a SUNY/ACT Alumni Survey was administered in Spring 1999 to nearly 5,000 Albany alumni. Again, the previous Director of Institutional Research was a member of the SUNY-wide committee that oversaw the design of this instrument with ACT. This instrument is expected to be used on a three-year cycle similar to that of the SUNY/ACT Student Opinion Survey. The Office of Institutional Research is currently discussing the administration of program-specific alumni surveys that would directly assist departments in the assessment and improvement of their academic programs.

The primary institutional purpose of this assessment effort is to enhance the learning experience for students at Albany. The centralized assessment efforts noted above are complemented with a wide array of evaluations and peer reviews carried out at the departmental level. Indeed, much campus-wide effort was expended in the early 1990s to establish decentralized assessment procedures. That effort continues to bear fruit as our majors employ a variety of strategies to improve student learning. Specifically, our academic departments utilize senior thesis or research projects, performance experience, course embedded and capstone experiences, comprehensive examinations, student portfolios, senior essays and interviews, alumni studies, and placement data to assess student attainment in the major. Appendix 4.3 contains an inventory of the Assessment in the Major activities currently employed at the department level. For a thorough discussion of issues involved in assessing student achievement in the academic major, see "Assessing Student Attainment in the Academic Major: What's the Question?" by Dr. J. Fredericks Volkwein, (provided in the Document Room). This report details the philosophical and operational rationale underlying departmental efforts in the assessment area.

Albany Outcomes Assessment Model

Figure 4.1



Looking more closely at specific research strengths of the University at Albany, two characteristics are particularly noteworthy. First, the University strives to relate basic and

graduate programs and the undergraduate experience by focusing on problem solving and critical thinking, and providing all of our students with opportunities to acquire experience in a wide range of research and scholarly activities. Further, we will provide the connections between strong research and teaching contexts. University will continue to emphasize discovery as a core strategic value in both the research and disciplines where the University holds competitive advantage. Over the next decade, the needs of an expanding student population and to engage research opportunities in fields and disciplines where the University holds competitive advantage. We also expect the academic program to benefit from the addition of new faculty to raise stipends to compete successfully nationally and internationally for the very best graduate students. We understand the imperative to expand the resource base for academic program to continue to grow stronger as the institution's facilities and physical fabric are expanded and modernized. We are also committed to increasing our quality and size, recognizing that additional resources will be required to meet our strategic goals. We expect the university into the next decade. We are also committed to increasing our quality and size, The University is committed to maintaining its status as a selective, high quality research university into the next decade. We are also committed to increasing our quality and size, raising stipends to compete successfully nationally and internationally for the very best graduate students. We also expect the academic program to benefit from the addition of new faculty to meet the needs of an expanding student population and to engage research opportunities in fields and disciplines where the University holds competitive advantage. Over the next decade, the University will continue to emphasize discovery as a core strategic value in both the research and teaching contexts. Further, we will provide the connections between strong research and graduate programs and the undergraduate experience by focusing on problem solving and critical thinking, and providing all of our students with opportunities to acquire experience in a wide range of research and scholarly activities.

enable them to bring systematic knowledge to bear on professional practice and policy. and the institution's academic programs, which includes graduate certificate programs, master's degree programs, and doctoral degree programs. These programs prepare students for successful careers in a broad range of fields, as well as provide students with the knowledge and skills to enable them to bring systematic knowledge to bear on professional practice and policy.

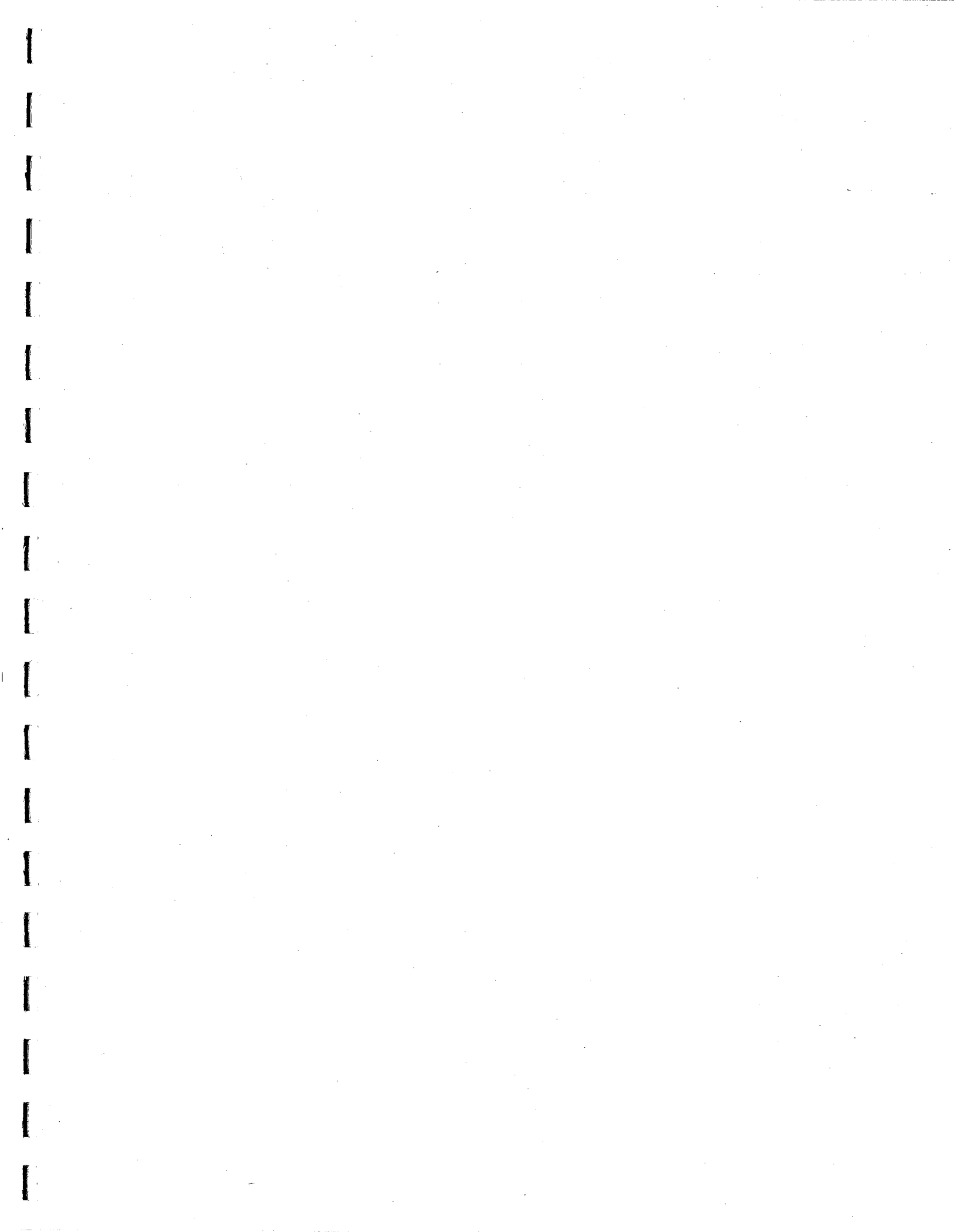
In addition to a fine general education foundation, our undergraduate students pursue bachelor degrees in discipline-based and interdisciplinary programs. Opportunities also abound for combined bachelor's/master's degree programs, as well as for internships designed to give students practical "hands-on" experience in a field or area of interest, and for study abroad at academic institutions in all of the major geographic regions of the world. From regular and systematic surveys of alumni we know that our students highly value their experience at Albany.

The University at Albany has a reputation for creating and offering high quality academic programs that attract high-achieving and committed students. Many of these programs are already ranked among the very best in the country. Still others are positioned to move into the ranks of our nation's premier programs for their discipline. Assessments show that our students recognize and respond to this quality.

Conclusion

In sum, Albany's educational programs are assessed in many ways, by both internal and external peers, editors, reviewers, funding agencies, budget panels, and accrediting agencies. Student grades, self-reported assessments, faculty teaching evaluations, periodic program reviews, alumni studies, and assessment information about student attainment in the major programs and student learning. provide additional complementary ways of obtaining useful feedback to improve academic

applied research to critical areas of societal need. Second, the University fosters collaboration in research, both among disciplines, and between the university and the private, public, and nonprofit sectors. These characteristics are manifest in many areas of scholarly activity across campus, including research focusing on literature and the arts, computer chip technology, atmospheric sciences, environmental and public health research, public policy, educational research, and social and demographic studies, among others. Such a setting for research and scholarship provides an exceptional environment for learning for graduate and undergraduate students alike.



Chapter V STUDENTS, STUDENT LIFE, AND STUDENT SUPPORT SERVICES

Student Profile

The student population at the University at Albany is a vibrant and heterogeneous mix of undergraduates and graduates. The University's heterogeneity is assured by the rich diversity of students who enroll on this campus: domestic and international students, students from the Long Island/New York City area and the broad Upstate New York region, students from other states, traditional freshman and transfer students, minority and majority students, non-traditional and "talented" students, and adults enrolled in both degree and non-degree programs.

The University at Albany had a total student enrollment of 16,867 in fall 1998. Appendix 5.1 includes two tables that describe the sex, ethnic/racial and residency composition of undergraduates and graduate students since fall 1990. Another set of tables, describing those students in our matriculated undergraduate population who have identified themselves as having a disability, is available in the Document Room.

Women, as a percentage of the undergraduate population, have remained between 47.8 percent and 49.9 percent within the nine-year period shown. Minority students have grown in number (from 2,213 to 2,547) and as a percentage of all undergraduates (from 17.8 percent to 21.9 percent) from fall 1990 to fall 1998. The University at Albany continues to serve primarily New York State residents; however, these data also show growth in out-of-state and international students in keeping with our strategic initiatives to enhance the geographic diversity of our student body.

Among graduate students, the percentage of women enrolled is higher than at the undergraduate level and has, with one exception, remained until the last two years at around 59 percent of the population. In fall 1998, 36 percent of all women on campus were enrolled in graduate study. This compares to 32 percent in fall 1990. The minority graduate student population at Albany has grown since fall 1990 but remains much smaller than the number of minority undergraduate students and represents less than 10 percent of all graduate students. Sixteen percent of all minority students on campus are enrolled in graduate study. This compares to 12 percent in fall 1990. The residency data on graduate students indicate that about 84 percent of graduate students are residents of New York State. However, it should be noted that these data show the current residency status of graduate students and, therefore, mask the extent to which graduate students are recruited from outside New York State. Indeed, approximately 30 percent of new graduate students are recruited from outside the state of New York.

Enrollment Management

Institutions of higher education have in this past decade taken a much more focused and proactive approach to enrollment management, and the University at Albany is no exception. Emerging from a period in which both recruitment and retention of highly qualified students were fairly straightforward, the University experienced enrollment challenges in the early 1990s

that led to the investment of both institutional resources and substantial strategic energy in these tasks.

The core of enrollment management activities resides in the Division of Academic Affairs in offices traditionally associated with "enrollment services" - admissions, advisement services, registrar, academic support services and undergraduate studies. What is unquestionably true, however, is that enrollment management efforts can only be fully successful when supported across all service areas of the University, across divisional lines, and in all academic departments. In this regard the University has been exceedingly well served by the proactive efforts of all.

Undergraduate Admissions. During the decade of the 1990s, the University at Albany witnessed two major shifts in its undergraduate admissions profile. From 1990 to 1994, the campus experienced declines both in applications and in the resulting academic profile of its incoming classes; since 1996, however, the campus has focused energy and resources on reversing this trend with a longer-term goal of positioning the University as one of the nation's most selective public institutions.

Throughout the late 1980s, Albany had not experienced much impact from the decline in high school graduates that was well underway in New York State. While that population had dropped by 28 percent between 1980 and 1990, applications to Albany had remained healthy, fluctuating somewhat but generally at or above the 1980 level.

By 1990, however, Albany's competitive position had begun to decline. The number of applications dropped that year and remained low in subsequent years, following more closely the changes in the high school graduation pool. In addition, the 1990s have been an era of intensified competition from institutions in the Northeast and beyond for the most qualified students. Increases in SUNY tuition levels, along with more dramatic "tuition discounting" by private institutions, also diminished the cost advantage that was one of the previous hallmarks of an Albany education.

As a result, the academic profile of the applicants and enrolled students also declined in the early 1990s: in 1990 the average SAT was 1125 and average high school GPA was 88.4. In 1994, the average SAT was 1059 and average high school GPA was 86.7 for the traditionally admitted population. (Note: SATs in both cases are unrecentered). Although these SAT scores were still above the national averages (+136 points) Albany's academic profile was moving in an unacceptable direction, given its history and future aspirations.

By 1996, the University recognized the need for a more proactive enrollment management focus to admissions efforts. In support of this, the campus engaged the services of the enrollment consultant firm Noel Levitz and launched a major re-engineering effort in the Office of Undergraduate Admissions. This effort has also given rise to an energetic, campus-wide effort to ensure that the University attracts highly qualified students who are likely to be successful and satisfied in the challenging academic environment of a research university. An extensive array of recruitment and enrollment activities has been initiated since then in keeping with the University's aspiration to be among the nation's most selective public institutions. These include:

The University has undertaken a multi-faceted approach to improve the retention rate of students, especially from the freshman to the sophomore year. And all areas of the University

freshman. Our enrollment management challenge continues far beyond the student's decision to enroll as a freshman like Albany is almost exactly 80.5 percent, the University community recognizes that freshman class retention was 80.59 percent. Although the national average for selective research fall 1989 incoming freshman class retention rate was 90.19 percent; but by fall 1994, the enrollment picture. Indeed, as at many institutions nationwide, the retention of undergraduates, especially from the freshman to sophomore year, has declined. At the University at Albany, the Undergraduate Retention. Clearly, "retention" is a critically important variable in our

Challenges certainly remain. New York State's high school pool, though projected to increase through the middle of the decade, will not approach the levels of the 1980s. But, most pressing, we must work to rebuild our reputation for selectivity among the most qualified applicants. Even with our recent enrollment successes, we are not satisfied that we are attracting sufficient numbers of top-tier applicants. There are signs in the current admissions cycle that we may see some improvement; it is very clear, however, that this is our major challenge if we are to meet our admissions selectivity goals.

The results have been most promising. Since 1996, the number of applications for the freshman class has risen steadily from 13,678 to 14,844 in 1998. The academic profile of the traditionally admitted class has improved as well. High school GPA has moved from 87.3 to 87.7 in 1998; average SAT has risen from 1150 to 1163. (Note: these are recentered SAT scores.)

- The staff of the Office has been increased by three professionals and one clerical staff member.
- The recruitment budget was doubled from approximately \$400,000 per year to approximately \$800,000 per year.
- The University has acquired a more strategic understanding of the "admissions funnel" and developed the ability to set goals for each stage of the recruitment process from inquiry through enrollment.
- University admissions representatives, both professional staff and regional recruiters who are themselves retired guidance counselors, have increased Albany's visibility in New York's high schools.
- The University has organized a student telecounseling operation.
- Out-of-state and international recruitment has been expanded to enhance the geographic diversity of our student body.
- In order to attract the top academic students, a more aggressive merit scholarship program, coupled with financial aid leveraging strategies, has been introduced.
- This past year, we have expanded campus visit opportunities. We will tailor contact letters to students based on their interest in programs in which we specialize.
- With the leadership and support by the Office of Institutional Research, a much more substantial amount of data is being brought to bear on the establishment and monitoring of admissions goals.

The Presidential Scholars program offers a variety of merit incentives, including tuition scholarships, special advisement services, and special social and academic programming. Presidential Scholars are also guaranteed access to any closed section at the lower division that constitutes either a General Education requirement or a pre-requisite for an upper division course needed in an upcoming academic term. Most recently, senior faculty have collaborated in a team-taught freshman core course for Presidential Scholars called *Foundations of Great Ideas*, which had its inaugural year in 1998/99.

Presidential Scholars Program. As noted in Chapter IV, the Presidential Scholars program was introduced in 1993 to attract more highly qualified students to the University at Albany. Admission to Albany as a Presidential Scholar is offered to approximately 10 percent of the freshman applicant pool, and has been increasingly successful each year. The number of new Presidential Scholars has grown from the initial group of 50 to 201 in the fall of 1998. The minimum qualifications for this group vary slightly from year to year based on the quality of the pool of applicants, but admission typically has a cutoff range of SAT scores of 1270 and high school average of 91.

In addition to a number of departmentally-based curricular enhancements, such as honors courses, undergraduate research opportunities, internships and similar experiences, the University has many major academic programs which enrich the intellectual experience of our students (additional information on these programs available in Document Room). These include:

SPECIAL ACADEMIC PROGRAMS

The results of our (and others') assessment studies are clear: the quality and distinctiveness of an institution's academic programs and the quality of a student's interaction with faculty are the major factors in student retention (and recruitment). Over the last decade, numerous academic programs have been developed at Albany to assure that our students have the opportunity to participate in a wide range of special curricular experiences involving close interaction with faculty. Further, major improvements have been made in our academic services which, like the curricular changes, are designed to provide maximum support to our students. Taken together they reflect an increasingly student-centered environment for learning - an environment which supports the intellectual growth of our students.

Academic Programs and Services to Support Retention

administration, as well as the faculty and staff of Academic Affairs, have played a significant role in this effort. Clearly, much more remains to be accomplished, but it is accurate to say that the increasingly "enrollment driven" nature of the University at Albany is creating on campus a more student-centered perspective. For example, the introduction of Project Renaissance in 1996 (see Chapter IV) made a dramatic difference in the retention of freshmen. In fact, our data confirm that our greatest improvements in retention have occurred in the programs designed to enhance the contact of students with faculty and other mentors and through special academic services.

The success of the Presidential Scholars Program is best illustrated by its retention and graduation rates. The freshman to sophomore year return rate for Presidential Scholars was 93.5 percent in the fall of 1998. Graduation rates are equally impressive: 93 percent of the fall 1994 Presidential Scholars graduated with five years while 76 percent of the fall 1995 class graduated within four years. In 1998 the total enrollment of new and continuing Presidential Scholars had grown to 578.

Honors Halls. There are four Honors Halls housing 80 students each, designated as residential options for Presidential Scholars. This distinctive residence opportunity reinforces the kind of intellectual environment which is provided in the formal academic programs of the Presidential Scholars. Each suite in the honors halls is equipped with a University computer, providing direct Internet access, e-mail and a variety of applications including word processing through ResNet.

Presidential Honor Society. The Presidential Honor Society is a student-initiated and student-run service organization. Membership is available to any undergraduate at the University in any field who has a cumulative GPA of 3.75 or above. Continuing membership requires 15 hours of university or community volunteer service per semester. Approximately 200 students are currently active in the Presidential Honor Society.

Project Renaissance. Project Renaissance, also discussed in Chapter IV, provides a common first-year experience for several cohorts of 100 students who are invited on a first-come, first-served basis, to participate in an interdisciplinary general education program as entering freshmen. The Project Renaissance curriculum involves two consecutive semesters of six-credit interdisciplinary course work that covers half of the students' General Education requirements. This academic experience is reinforced through a common residential component creating a true living-learning opportunity. In addition, the program has a special emphasis on electronic technology training and practice. Intensive faculty contact with three-member faculty teams that conduct both plenary lectures and small discussion sections is a primary feature of Project Renaissance.

Students who participate in Project Renaissance typically return to the University at rates higher than their counterparts. In fall 1998, the freshman to sophomore year return rate for Project Renaissance students was 90.8 percent.

Educational Opportunities Program. The University at Albany Educational Opportunities Program has been in operation since 1968 and is designed to provide an undergraduate opportunity to educationally and economically disadvantaged students who are residents of New York State. The program is structured to make higher education possible for students who lack the financial resources and academic credentials for college admission, but who possess the potential and motivation for academic success. Once admitted into the University at Albany, EOP students find a curriculum designed to fully prepare them for their college coursework, as well as a host of quality programs and services to enrich and support their academic activities and achievement within the university community.

Since its beginnings at the University at Albany in 1968, EOP has produced 3,000 graduates. Its current graduation rate is 55 percent, higher than the national average for all students. The freshman to sophomore year retention rate has been above 90 percent since 1994

and was 95 percent in 1998. Twenty percent of the EOP students are on the Dean's List every semester. EOP currently enrolls 735 undergraduate students and admits 135 new students and 54 transfer students yearly. The success of the program is well known and competition intense for entry. During the fall 1998 admission cycle, 2,300 EOP freshman applicants competed for the 135 slots.

Study Abroad. Each semester, University at Albany students have the opportunity to take part in over 60 study abroad programs in more than 20 countries, sponsored through the Office of International Education. In addition, through the State University of New York system, there are over 350 programs in more than 50 countries available to Albany students. These study abroad experiences are designed to enhance the educational program and to better prepare the students for a global society. While some programs are conducted in English, others are in the language of the host country. Recently, through a New York State legislative grant initiated by Assemblyman Edward Sullivan, Chair of the Assembly Higher Education Committee, Albany seeks to focus on developing programs and increasing student experiences in several strategic study abroad sites where the spoken language is Spanish, Chinese, French, Russian, or Arabic.

Faculty in Residence Program. In order to bridge the academic and residential experiences of students, the University at Albany developed a program in which five, full-time teaching faculty members live in apartments in the student quads on the Uptown Campus. These faculty provide mentoring as well as academic and social programming. Their presence in the residences facilitates easy access for informal conversation and other advising. They also organize and participate in field trips and other extra-curricular activities for resident students.

Academic Services

While the classroom and other academic experiences of students remain the most important contributors to retention, a number of academic services support and serve students, facilitating their academic success. These efforts are guided by the Dean of Undergraduate Studies, who has responsibility for the academic experience of undergraduates at Albany. As the University has sought to foster a student-centered environment, significant efforts and resources have been directed to the following academic support areas (additional academic services are described in Appendix 5.2):

Undergraduate Academic Advisement Services. A key factor in freshman-year retention is the quality of academic advisement. The Advisement Services Center of Undergraduate Studies (ASC/US) is the central advisement resource for undergraduates at Albany (additional information on ASC/US available in Document Room). All first-year students are assigned an adviser who first consults with them during specially designated summer planning conferences. Albany freshmen interact with their advisors in the Advisement Services Center at least three times, and ideally more often, during the freshman year (during the Summer Planning Conference, and during the fall and spring semesters) to develop or affirm their academic plans and to choose courses that prepare them to move forward into academic majors.

Graduate Enrollment. Graduate enrollments at the University reached unprecedented levels during the early 1990s and continued thereafter, with slightly more than 5,000 students

Graduate Enrollment and Support Services

The new unit has already recognized many benefits of scale that have allowed for the improved delivery of services for all student populations. Further, it is anticipated that growth in all dimensions of international education will be possible in this new configuration. (These are discussed in Chapter IV.) Enrollment of international students is at an all-time high: 889 non-immigrant students from 85 countries enrolled for the fall 1999 semester.

(Additional information on this office is provided in Appendix 5.2.)

Office of International Education. Consistent with the University's strategic initiative to create a more international environment at the University at Albany, the Office of International Education was created in 1999, incorporating International Student Services (formerly in the Division of Student Affairs) and the intensive English Language Program (formerly in the School of Education) with the Office of International Programs. This merger has brought together into a single unit those programs that serve our students going abroad, those coming from foreign countries, and those for whom English is not the native language.

Course Registration. In 1993, the Registrar's Office introduced the Voice-Response Registration (VRR) system to the campus, dramatically improving the process of course registration at Albany. VRR allows students to register, adjust their schedules, and hear their grades via any touch-tone telephone in the world. The new system completely eliminated the need for students to wait in lines to perform registration-related functions. VRR has been phenomenally successful on this campus, averaging 450,000 telephone transactions per year, and requires an absolute minimum of service. (Additional information on this office is provided in Appendix 5.2.)

In the 1998-99 academic year, the Provost initiated measures to refocus and improve the services of the Advisement Services Center as a first step toward improving advising across the entire campus. Chief among these steps has been the decision to remove all non-advisement functions (bulletin publications, academic actions) and to reallocate resources that had been used to employ graduate students as academic advisors into professional staff lines. As a result, the profile of academic advisors for freshman changed in 1999-2000 from six professionals and twelve graduate students to twelve professionals and four graduate students. The shift to more full-time permanent staff was intended to accomplish a number of goals supporting a student-centered focus. These include:

- Enable a student's advisor assignment to remain more stable over the two years of interaction with ASC/US.
- Ensure a more consistent information resource.
- Institute a "developmental" focus to academic advisement, rather than simply "information-focused" advisement.

Each student utilizes ASC/US advisement service until s/he declares a major. At that time the student is advised within the academic department. Each department coordinates its own academic advisement procedures for its majors.

registered in all but one year. Some year-to-year fluctuations in applications and admissions mirrored national trends that were tied to the overall economic picture for college graduates. During the decade, it was determined that the most effective way of increasing the numbers and quality of graduate students on campus was through significant improvements in the academic programs themselves. This led to investments targeted to academic units with strong applicant pools and aimed at increasing stipend levels of exceptional graduate students. Indeed, one of the highest priorities of the University at Albany is to increase graduate student stipends to make us more competitive with our institutional peers. All of the University Centers of the State University of New York face this same challenge.

The University at Albany fully realizes that the market for graduate students, particularly the very best graduate students, is a very competitive one among our institutional peers. The growth and vitality of our campus, present and future, is determined by our ability to make the graduate experience intellectually stimulating and professionally rewarding. Thus, in 1997, the University organizationally reassigned the Office of Graduate Studies from the Division of Research and Graduate Studies to the Division of Academic Affairs. This reorganization was undertaken to better serve graduate students in an organizational setting that is actively involved in creating a student-centered learning environment. In addition, because the recruitment and retention of graduate students relies heavily upon deans, department chairs, and faculty in academic departments, the incorporation of the Office of Graduate Studies into the Division of Academic Affairs has allowed for better communication between the Office and the academic units; greater complementarity among the functions associated with the allocation of assistantships and fellowships; and greater synergy between the activities of the Office of Graduate Studies and other support units in the Division.

In support of graduate admissions, the Office of Graduate Studies and the graduate admissions office of the Rockefeller College serve a variety of important functions, especially in regard to centralized promotion of graduate study at the University, initial contact with prospective students and the timely processing of applications for academic review. In recent years, these offices have focused on improving their responsiveness to requests for information and enhancing the quality of the information being provided to prospective students. In addition, the University has developed better web-based services for graduate student recruitment including an on-line inquiry form and on-line application for graduate study.

While issues of program quality, student academic interest and affordability are at the heart of graduate recruitment efforts, we recognize that access to informed and motivated faculty and staff is a key factor in the success of graduate recruitment efforts. Therefore, primary responsibility for the recruitment and enrollment of graduate students rests in the academic unit to which each student has applied. The Provost, in consultation with the deans of the colleges and schools, sets graduate enrollment goals, and enrollment performance is regularly discussed at the monthly meetings of the Deans Council. Progress is monitored on behalf of the units by the Office of Institutional Research.

In recent years, each of the academic units with a graduate program has greatly enhanced recruitment efforts through a variety of initiatives including improved web pages, timely processing of applications, broader and more intensive recruitment efforts, and a variety of other discipline-specific measures. Investments have also been made in publications, targeted mailings, travel, and other communications with graduate students in support of recruitment.

Special attention has been given to the assessment of doctoral program quality. A two-year review of all of our doctoral programs was concluded in September 1998. The study, conducted by a blue-ribbon panel of senior University faculty, provided important information about the strength of our doctoral programs and created a framework for allocating resources such as faculty lines and graduate student stipends.

Services for Graduate Students. The key services that support the retention and degree completion of graduate students are similarly decentralized and are primarily delivered within the academic programs. Every graduate program is directed by a faculty member, whose responsibilities include academic advising and other services for the graduate students in the program. Some departments arrange for peer mentoring of new graduate students, and others are expanding career planning services and support to assist graduate students in preparing themselves to be competitive for positions upon completion of their degrees.

The Office of Graduate Studies is responsible for supporting the work of the University Senate Council that oversees graduate academic life at Albany, providing assistance in the development and enforcement of policy. In addition, the Graduate Studies staff provide centralized services for graduate students including interpretation of graduate policies, degree clearance, and other services in support of quality of life of graduate students while they are enrolled at Albany. These range from assistance with individual academic issues to broader matters of training and preparation in their graduate study.

The Office also provides staff and services to support an ethnically diverse graduate population. In 1992, a Special Assistant to the Dean of Graduate Studies was appointed to recruit and serve students from underrepresented populations. These efforts have been aided by the establishment of the Underrepresented Graduate Fellowship Program. International graduate students are also assisted in making the transition to the University through several days of orientation, advising, and special programming, as well as on-going support services.

Another major effort on campus to diversify our graduate student population has been through the creation of programs that produce graduate school-bound undergraduates from underrepresented populations. This effort, spearheaded by Associate Vice President Carson E. McNair Post-Baccalaureate Achievement Program. The grant will support approximately twenty-five undergraduate students of color from the University at Albany and other New York schools as they prepare for graduate study in science and/or mathematics.

The University has also greatly expanded programs to support the development of teaching skills among graduate students. The Center for Excellence in Teaching and Learning (CETL) holds a two-day orientation program for new teaching assistants. Ongoing workshops and individual mentoring and assistance in pedagogy are also provided through CETL.

¹ In late 1992, teaching assistants and graduate assistants across the State University of New York system elected to organize and engage in collective bargaining under the State's public employment labor law. Recognized as the Graduate Student Employees Union, the group ratified the first collective bargaining agreement in 1994.

The Office of Financial Aid provides a high level of service to our students, both in terms of personal contact and the efficient and rapid processing of applications for financial aid. During the past five years, many improvements have been made to the financial aid delivery system through the implementation of sophisticated automated systems. In 1995, the Office was relocated to the Campus Center to bring it closer to the center of student activity. This move also provided for private office space for more personalized counseling services. These

Financial Aid allows our undergraduate and graduate students access to higher education by providing aid that meets financial need and provides, as much as possible, an attractive mix of grants, loans, and student employment. The amount of aid administered by the Office of Financial Aid has increased dramatically since the 1993-94 fiscal year because of changes made in the Title IV federal student aid programs and The Higher Education Act of 1992. The amount of financial aid administered by the office during the 1992-93 fiscal year was approximately \$29 million; by 1998-99 it had grown to almost \$80 million.

Financial Aid

The quality of the learning environment for all students extends beyond the academic program, of course, to include the many services, programs and facilities that comprise a residential campus. At Albany, the Division of Student Affairs, led by Vice President James P. Doellefeld, has been the primary organizational unit for the delivery of key student services to undergraduates. The decade of the 1990s represented a period of major transformation of this unit and a number of critical student services were developed or reshaped to better support the academic enterprise. The following represent some of the major initiatives in student services during the past decade. (Information on all the units of the Division of Student Affairs can be found in Appendix 5.2.)

Undergraduate Student Life and Student Support Services

Graduate Student Organization (GSO). The Graduate Student Organization (GSO) is a student-run group that creates programs designed to facilitate and enhance the academic and extracurricular experience of graduate students at the University at Albany. The programs and services offered by the GSO are funded by the graduate student activity fee. The GSO is governed by the GSO Assembly, composed of graduate student representatives from all departments and interdisciplinary programs. The Assembly is responsible for the development, approval, and implementation of all GSO activities, expenditures, and policies. Representatives are responsible for all the decisions of the GSO Assembly and also function as the liaison between the GSO and their respective departments. The Graduate Student Organization's standing committees are as follows: the Standing Committee that Oversees Registered graduate student sub-Organizations (S.C.O.R.O.), which recognizes and approves allocations to departmentally-based graduate student organizations; Grants and Travel Committee, which assists graduate students in finding support for their research; Multicultural Committee, which organizes activities to support diversity on the campus; Programming Committee; and, Awards Committee (the latter two committees have not been active in recent years).

Opportunities also exist for graduate students to participate in a wide range of institutional governance activities in their home departments and on an institutional basis.

The measurable result of these improvements is that occupancy is at its highest level in years. There has been an increase in the percentage of juniors and seniors electing to remain on campus for each of the past four years. Our September 1999 opening day resident headcount

life at Albany has been the numerous improvements made in recent years to the residence hall facilities. Three halls have been totally rehabilitated while seven others have had major cosmetic refreshing, with total rehabilitation expenditures in the past three years of \$10 million. The room furniture replacement schedule has been accelerated and 2,500 sets of new furniture have been purchased in four years.

Residential Facilities. One of the most dramatic contributors to improving the quality of

population. (community) provides activities and programs that celebrate the diversity of our resident change, Rising to our higher humanity, Gaining empowerment, and Educating self and Life's CHARGE program (Celebrating ethnicity, Honoring our histories of struggle, Acting for all students to promote intergroup understanding, cooperation and tolerance. Residential by roommates and others. National Coalition Building Institute (NCBI) workshops are offered addressing issues such as the use and abuse of alcohol and illegal drugs, both by themselves and the Counseling Center and Middle Earth present educational programs to assist students in applying to graduate school, preparing for graduate standard tests including GRE, MCAT, and SAT, and similar concerns. Additionally, Resident Assistants in conjunction with staff from Upper class residence hall programming focuses on selecting a major, university community. Workshops in study skills, listening skills, speaking skills, and in career planning. Its primary goal is to ease the transition between life as a high school student and life as a member of a is a point of coordination for the various units that provide academic support. It offers Academic and Intellectual Leadership" -- is a first-year training program in academic skills that similar programs of special import to first-year students. The SALL Program -- "Supporting series of workshops on academic skill development, time management, test preparation, and professional staff from other campus departments. Designated Freshman living areas have a residence halls by Residence Hall Directors, Resident Assistants, faculty in residence, and personal growth of students. Programs that support academic success are provided in the provide affordable housing that is clean and safe, and promotes the intellectual, academic and Residential Programming. The goals of the Department of Residential Life are to

The University has placed a very strong emphasis for the past decade on improving the quality of life for resident students in order to enhance the learning environment and contribute to student retention. These efforts have been greatly assisted by the devolution of the financial management of the residence halls to the campuses, allowing the University to accelerate the pace of its rehabilitation and improvement program. (See Chapter VII.)

RESIDENTIAL LIFE

improvements, among others, resulted in the Office being ranked in the top ten in terms of student satisfaction in the 1997 SUNY/ACT Student Opinion Survey. In the same survey the Office also ranked number one in student satisfaction in relation to the other university centers, and in the top third among the state-operated campuses in quality of financial aid information provided to students. (Additional information on this office available in Document Room.)

was 6,408, while building design capacity is 6,196. To accommodate this number, 150 residents were temporarily housed in Towne Place Suites across Washington Avenue from the University through a contract agreement, and other students were housed on campus in lounges and increased occupancy rooms. Students in temporary housing were all moved to normal on-campus occupancy rooms before the end of the fall term. Indeed, spring semester 2000 occupancy is just short of 100 percent, the highest level of occupancy for a spring term in years.

Given this increased demand for on-campus residency, coupled with the projected growth of the undergraduate student population, the University must now plan to increase the number of residence rooms. Such new facilities could also address some of the concerns of upper class students for individual rooms rather than doubles. By building in excess of our immediate occupancy needs we will also provide the "surge space" required during periods of extensive rehabilitation.

Residential Networking Services (ResNet) and Telecommunications. The University undertook a major initiative in 1995 to improve telephone service and access, provide high quality data communication, and create a closed circuit cable television network for residents. This was a technically challenging task involving wiring over 6,000 resident student sites for all three services and an additional 4,000 business telephone locations across campus. The campus developed a financing approach in which the successful bidder incurred all costs associated with the installation of the systems in return for revenues generated from university and student telephone usage. As a result of this initiative, each resident student now has individual access to television, phone, and data (computer) connections.

ResNet is the University's residential data network, developed to enable students to gain access to both University resources and services, and the global Internet. In its first year of service, 1995-96, five residence halls had active Ethernet connections. By 1997-98 all 44 residence halls were activated. In 1999, two of three residents have one or more personal computers connected to the University's network.

The University's Telecommunications Office provides voice and video services to the resident student population, predominantly via an external service provider, ACC Telecom. Each resident student is connected to the campus telephone network with a five-digit campus extension number. Basic phone service allows the students to receive incoming calls, make calls to other students on campus, dial University Police directly, and receive voice mail. The University also provides resident students with a Closed Circuit TV Network that includes over 20 channels and three Campus Programming Channels. During the academic year, students receive a listing of upcoming events, as well as newly released movies. These services, with the exception of long distance calls, are included as part of the basic room fee.

Food Service. In response to the 1994 SUNY/ACT Student Opinion Survey, which ranked food service at the University near the bottom of campuses within the SUNY system, the University hired Sodekho-Marrion Consulting Services to administer a broad survey of the University community — faculty and staff, as well as students — regarding residence hall, retail, and catering food services. As a result, the campus food service operation was put out to bid, resulting in a one-year contract with Sodekho-Marrion Corporation starting in July 1999. Early results clearly demonstrate the need for continued improvement with the food service

- *Whistle Watch Program* was designed to give students a way of signaling for help if they believe they are in jeopardy. UPD distributes high-pitched whistles to students as a means of deterring criminals and attracting the attention of someone to assist students under attack.
- *Rape Aggression Defense System (RAD)* offers women the opportunity to learn self-defense techniques that may be used to avoid being injured during an attack. It is a twelve-hour program that is taught by certified RAD instructors.
- *Emergency and Blue Light Phone System.* 254 Emergency and Blue Light Phones throughout the campus are directly linked to the University Police Department. Emergency calls are received by UPD at its dispatch facility where trained civilians determine the nature of the emergency and dispatch appropriate personnel and equipment. Two of these dispatchers were initially funded through a U.S. Department of Justice COPS/MORE community policing grant that totaled \$90,000 over two years.
- *An extensive web site* (www.albany.edu/publicsafety/) which lists valuable information such as how a victim of sexual assault, sexual harassment, or online harassment can receive help.

In conjunction with traditional police functions of patrol, crime detection and apprehension, UPD offers a variety of services to contribute to student safety:

The University at Albany Police Department (UPD) is a full service Police Department that seeks to create a safe and secure campus environment in which the educational mission of the University can be realized. UPD's programs are grounded in a community policing concept, that was recognized in 1999 by The International Association of Chiefs of Police with the Community Policing Award. Albany was selected from 200 entries worldwide and was the only university police department to be so recognized. In addition, Albany was cited by the Department of Justice, Office of Community Oriented Policing Services for "outstanding community policing practices," and *The Campus Security Report*, a nationwide publication focusing on campus security issues, has reported on the positive effects of community policing at the University at Albany. UPD also received an award from the University at Albany Lesbian, Gay, Bisexual and Transgender Student Association for commitment to that group.

University Police Department

Challenges remain for the Residential Life program. Safety, cleaning services, and dining services are primary ongoing concerns. Our substantial progress in providing a safe residential environment has been facilitated by the assignment thirty new security personnel to the residence halls to provide evening ID checks and safety patrols on every quad. (See below for discussion of University Police Department.) However, cleaning and dining services still require attention to achieve appropriate levels of performance.

operation, and the Vice President for Student Affairs and the Vice President for Finance and Business are directly involved in providing leadership to improve campus food service.

• *Operation ID* is an engraving service program that allows students to identify their belongings by a personal identification number that is kept on file in the University Police Department Office.

Personal Safety and Services for Off-Campus Students

Through the Office of Personal Safety and Off-Campus Affairs, the University interacts with city officials, neighborhood representatives, other colleges, and business leaders on matters related to student safety and living conditions off-campus. This Office, in conjunction with other local colleges, also promotes unified strategies to deal with alcohol abuse and misuse, safety initiatives for the university community and surrounding areas with heavy concentrations of students, town/gown relations, and other matters of mutual concern including parking, neighborhood involvement, and housing code enforcement. Much of this work is carried out through a Committee on University and Community Relations which is composed of students, representatives of various colleges, and community leaders.

These initiatives have received local and national recognition from The American College Personnel Association, Neighborhoods, USA, and the Neighborhood Resource Center. Mr. Thomas Gebhardt, the director of this office, has worked with local colleges and over a dozen owners of local taverns frequented by college students. As a result of his work, "The Tavern Owners Agreement" was drawn up, outlining responsible behavior standards for tavern owners. Mr. Gebhardt has been an invited presenter at numerous professional meetings on town/gown relationships, especially those dealing with underage and irresponsible drinking.

Quality of Campus Life Programs

Recruitment and retention of highly qualified students require a fully developed "collegiate" experience. A number of programs contribute to the co-curricular experience for University at Albany students, offering opportunities for recreation, personal enrichment, leadership development and leisure activities. The following represent the major organized activities in support of the quality of campus life.

Athletics. Consistent with the University's stature as a nationally recognized academic institution, the University has moved forward its intercollegiate athletic competition from NCAA Division III to Division II (1995) and to Division I (1999). Each decision was made by the University President on the recommendation of the University Senate with the recognition that a high quality athletics program could contribute to achieving the long-range goals for recruitment and retention of all students.

Over 450 undergraduate students participate in eight men's and eleven women's teams: 57 percent of athletic participants are men and 43 percent are women. This percentage compares very favorably to gender participation rates at Division I, particularly at schools that offer football. Special efforts were made to achieve these rates, and the matter of gender equity remains a priority for the athletic program.

Intramural athletics has a history marked by high student interest at the University at Albany. The University reaffirmed its commitment to a vibrant Recreation and Intramural Athletic program with the establishment of the position Director, Intramural Athletics and Recreation in June 1998. During 1998-99, nearly 2,800 Albany students on nearly 125 teams in 7 different sports participated in intramural athletics. The extracurricular program is funded by the Student Association's mandatory student activity fee; the intramural budget for 1999-00 is \$21,300.

Even as its intercollegiate athletics program has moved forward, the University has sustained a commitment to providing for the recreational needs of all students and alumni take full advantage of the University at Albany facilities throughout the year. The Basketball courts, Temporary Bubble Structure, Fitness Center and Squash Courts are utilized to their full capacity. In addition, fitness centers and recreation rooms have been installed on Colonial, State, Indian, Alumni and Dutch Quadrangles to provide students with easier access to recreation and fitness opportunities.

Recreation and Intramurals. Even as its intercollegiate athletics program has moved forward, the University has sustained a commitment to providing for the recreational needs of all students and alumni take full advantage of the University at Albany facilities throughout the year. The Basketball courts, Temporary Bubble Structure, Fitness Center and Squash Courts are utilized to their full capacity. In addition, fitness centers and recreation rooms have been installed on Colonial, State, Indian, Alumni and Dutch Quadrangles to provide students with easier access to recreation and fitness opportunities.

While the move to Division I was undertaken with optimism about our prospects for success, Albany also recognizes that such a move presents four critical challenges in the next few years. First, is the need to appoint a permanent Athletic Director. While the University at Albany is presently well served by an energetic and talented Interim Director, Dr. Gail Cummings-Danson, a permanent appointment is essential to move athletic programs forward. The second challenge is to secure a conference affiliation. The University at Albany presently competes as an independent, but conference affiliation is essential to the long-term success of athletics. Third, the University must also attract additional funding to the athletic program. The University at Albany presently expends \$3.7 million on intercollegiate athletics. The goal is to increase that funding to the \$7.8 million level by 2004-05 by increasing revenue from existing campus-based sources, a modest influx of new state funds, increasing departmental income, and fundraising. Performance goals are established for development staff. Finally, competition at Division I will require facility upgrades. The air structure (Bubble) is beyond its life expectancy and needs to be replaced by a permanent recreation/practice/office complex. Two outdoor competition/practice fields need to be converted to artificial turf to accommodate practice needs, particularly in the spring. The football stadium also needs an upgrade to Division I standards.

The total amount of athletic aid award to team sports was \$404,000 in 1998-99, the last year of competition at Division II. In 1999-00, \$875,000 in aid was awarded. Next academic year \$1,289,950 will be awarded. Scholarships for student athletes is essential to competing successfully at Division I.

Equally important to the University community is the importance of assuring the academic success of student athletes. The Department of Athletics offers a number of academic support services, and coaches reinforce the importance of academic success to student-athletes. In fall 1999, Albany's first semester of competition at the Division I level, the mean cumulative grade point average for scholarship athletes was 2.77, compared to 2.64 for non-scholarship athletes and 2.73 for matriculated undergraduates as a whole. The mean term grade point average for scholarship athletes for fall 1999 was 2.80 as compared to 2.63 for non-scholarship athletes and 2.68 for matriculated undergraduates as a whole.

Undergraduate Student Government, Clubs, and Organizations

The variety and volume of student extra-curricular activities at the University at Albany contribute greatly to the campus' comprehensive and diverse environment. More than 195 formally recognized student organizations actively contribute to a rich environment fostering involvement and supporting personal growth in ways that cannot be accomplished solely in the classroom. Various documents related to student life at Albany are available in the Document Room, including the *Student Handbook*, student newspapers, a roster of recognized clubs and organizations, the Student Association's and Graduate Student Organization's constitutions, and materials published by the Department of Residential Life and the Department of Athletics.

Student Association (SA). The Student Association, the undergraduate student government at Albany, is the primary structure that supports student groups, a newspaper, a copy center, legal services, and an 850-acre retreat in the Adirondacks. The SA is funded through the mandatory student activity fee, which is a part of each student's bill.

The Student Association is governed by undergraduate students in executive, legislative and judicial branches. The executive branch, headed by a President and Vice President, includes directors in the following areas: media; programming; multicultural affairs; women's issues; affirmative action; educational affairs; lesbian, gay, bisexual, transgender concerns; transportation; and athletics. The directors are responsible for programming events, outreach, and disseminating information to the university. The chief financial officer of SA, the Comptroller, is also a member of the executive branch. The judicial branch serves to resolve disputes within the Student Association, interpret the SA constitution and policies, and provide a balance of power.

Central Council is the legislative branch of SA. This branch is led by the Chair and Vice Chair of the Council who run its weekly meetings. Central Council is constituted to provide the democratic representation of the student body, is responsible for approving the budget, approving the directors appointed by the SA President, and providing leadership on issues of interest in the community.

SA receives approximately \$1.5 million from the mandatory student activity fees, which are budgeted at the end of each year for the following year. The budget process calls for student groups and organizations to apply for funding and provide a detailed rationale. All applications are reviewed by a committee appointed by the Central Council Chair and the SA President. Once the budget committee allocates expenditures, unfunded groups have several opportunities to appeal. The final budget must be passed by a minimum two-thirds vote of Central Council.

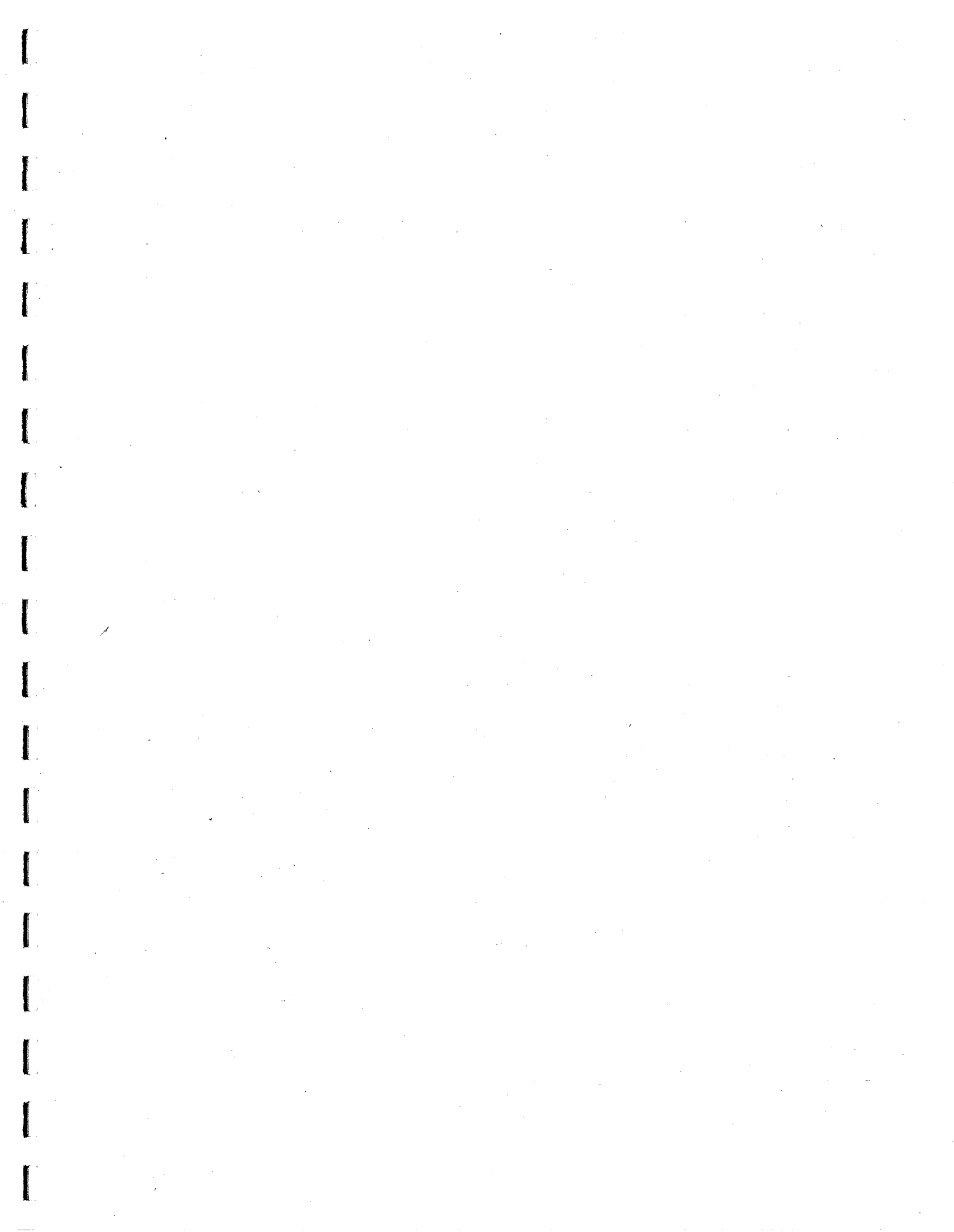
The groups within SA are diverse and draw membership broadly from the student body. Generally they constitute the following categories: service groups, social concerns and advocacy groups, art and media clubs, honors and pre-professional groups, religious and cultural organizations, and athletic and recreational activities.

SA also owns and operates Camp Dippikill, an 850-acre retreat in the Adirondacks that is utilized by students, staff, alumni, and other groups as a place to work, camp, or relax with

family and friends. Purchased in 1954 for \$10,000, this prime Adirondack acreage is now referred to as the students' personal "Walden."

Conclusion

Clearly, the decade of the 1990s has represented an era of challenge for the University at Albany as we have sought to maintain, indeed enhance, our record of success in enrolling highly qualified and intellectually curious students with the potential to succeed in a research university. Demographic changes in our state, coupled with intense competition within and beyond New York, have provided the external context for our efforts, while the changing needs and expectations of our students have offered abundant incentive on campus for continuous innovation and improvement. The result has been a number of distinctive initiatives across the campus, innovative and responsive to the educational and personal needs of students – from recruitment efforts to academic programs through virtually all areas of student life. Above all, the University has recognized that creating a student-centered institutional philosophy – one that places student success and "customer service" at the center of the enterprise – produces an academic environment conducive to high academic achievement. Thus we begin the new century with an ambitious set of goals for student enrollment and with a clear recognition of the institutional commitment that will be required to achieve them.



Chapter VI FACULTY

Faculty Profile

We begin our discussion of the University at Albany faculty with a quotation from the *Mission Review* document described in Chapter II of this Self-Study:

"Albany has a rich learning and research environment, whose major asset is a world-class faculty. The faculty members who have been recruited to the campus over the past three decades are dedicated teachers and internationally visible and respected researchers. They are among the most active and productive scholars in their individual fields, which include the core arts and sciences disciplines, as well as [those disciplines found in] professional schools in business, criminal justice, education, information science, public affairs, public health, and social welfare. The faculty are defining and studying the most central and important questions in their specialties, including many that are also directly related to some of the most vexing problems facing current society."

Many of the faculty at the University at Albany have been recognized as leaders in their professional organizations. Through their scholarship, these individuals have established important and productive research networks with campus colleagues and with collaborators at other major research institutions. A growing number of researchers are also involved in major research enterprises – for example, advanced thin film technology and biotechnology – that hold tremendous potential for contributing to the economic development and vitality of our region and State. The specifics of the profile described in this chapter portray a faculty fully qualified to move the University at Albany forward over the next decade.

The faculty are appointed to departments and programs organized within the institution's eight academic colleges and schools and the University Libraries, each headed by a dean who serves as the unit's chief executive and academic officer. Over the past two years, new deans from major research institutions across the nation and from the World Bank have been recruited and appointed to provide leadership for the College of Arts and Sciences and the Schools of Business, Criminal Justice, Education, and Social Welfare.

In fall 1998, the University at Albany employed 546 full-time teaching faculty members in the academic ranks of distinguished, full, associate, assistant professor, and lecturer. Most of these faculty members (74.9%) held continuing appointment (tenure). There were, in addition, 39 full-time library faculty, who are considered faculty under the SUNY Trustees' Policies. Although they are not included in these totals, we note that Albany's chief academic officers hold faculty appointments in addition to their administrative positions, as is customary at most research universities.

The number of full-time faculty, by rank, over the past decade at the University at Albany

The general roles and responsibilities of faculty at the University at Albany are clearly defined in the University at Albany's *Faculty Handbook*. This Handbook, last printed in 1994, is now available through the University Senate's web site (<http://www.albany.edu/~senate/handbook/toc.html>). The document includes sections on Policies Related to Faculty Members' Employment and Obligations, General University Policies and Information, the Chancellor's Statement on Governance and University at Albany Faculty By-Laws, and

Faculty Roles and Responsibilities

This chapter discusses faculty roles and responsibilities at the University at Albany and briefly summarizes issues related to the faculty's contributions in teaching, research, and service. The institution's success in recruiting an increasingly diverse faculty is also described, as are the challenges that will impact the University's continuing commitment to recruit and retain a high-quality, internationally known professoriate.

Source: SUNY System Administration, Office of Institutional Research

Year	All Ranks	Professor	Associate Professor	Assistant Professor	Lecturer
1990	664	245	234	147	38
1991	653	246	229	147	31
1992	646	244	235	132	35
1993	638	260	217	125	36
1994	619	267	207	113	32
1995	595	264	197	105	29
1996	581	258	198	98	27
1997	548	233	195	89	31
1998	546	237	184	90	35
% Change 90-98	-18%	-3%	-21%	-39%	-8%

Table 6.1: Full-Time Faculty by Rank for the University at Albany

is shown in Table 6.1. The overall decline in numbers (-18%) follows substantial reductions in State funding during most of the decade. As a result of these reductions, the University was not able to replace many faculty members following retirement or resignation, as can be seen in the dramatic loss in the more junior academic ranks. This disturbing trend was arrested and reversed in the 1998-1999 academic year, when the University acquired additional funding sufficient to recruit and appoint 45 new teaching faculty and four new assistant librarians. The total is the largest number of new hires since 1989-1990, and the first time in a decade that the number of new hires was greater than the number of retirements and other departures. Detailed information about the distribution of faculty by rank, tenure status, gender, ethnicity, and college and department will be available in the Document Room.

Implementation of the By-Laws. In addition, policies governing academic and professional personnel of the State University of New York are set forth in *The Policies of the Board of Trustees* and in the most recent *Agreement Between the State of New York and United University Professions, Inc.*

As presented in Chapter III, the University Senate is the principal policy-forming body of the University at Albany. Senate Councils are responsible for central aspects of the institution's policies and academic program. All academic programs, for example, must be approved by the Undergraduate Academic Council or the Graduate Academic Council, as well as by the full Senate. Faculty have opportunities to provide input through the Senate members who act as liaisons between the Senate and the University schools and colleges which they represent. To facilitate this exchange, the Senate regularly disseminates information about its activities to the faculty both directly and through its elected members.

Faculty further strengthen the governance process by serving on all departmental, school, divisional, vice presidential, and presidential search committees. They hold both elected and appointed positions on the University Resources and Priorities Advisory Committee, and have been appointed to the Pew Roundtable Committee, Strategic Planning and Master Planning Committees, faculty and staff awards committees, as well as a number of ad hoc committees established by the President, vice presidents, and deans.

Faculty professional responsibilities are delineated in "The Policy on Faculty Teaching, Service and Research Responsibilities," which is printed in Section I of the *Faculty Handbook* and incorporated as an attachment to the offer letter for each new faculty member on their entry to the institution. In addition, there is also a statement of the *Principles of Teaching* and AALP's Statement on Professional Ethics. Copies of all these documents will be available in the Document Room.

Finally, there are a number of basic principles and standards which all faculty are expected to uphold and support. The *Faculty Handbook* contains policies related to faculty conduct and obligation, including policies on sexual harassment, extramural employment, consultant fees and honoraria, and misconduct in research. Faculty are expected to maintain ethical standards as prescribed by the *New York State Public Officers Law*, the *Policies of the SUNY Board of Trustees* and the *Rules of the New York State Ethics Commission* (also available in the Document Room). The University supports the concept of equal access to all qualified persons, and prohibits denial of access on the basis of any personal characteristic that is not related to a person's ability to perform in a position or to be successful academically. Members

In 1967, the New York State Legislature authorized collective bargaining by public employees. The Public Employment Relations Board ruled that faculty and other professionals of all units of the State University should constitute one bargaining unit. Faculty and professional staff are represented by United University Professions, Inc. an A.F.T. affiliate.

Since 1984, University policy has mandated both peer evaluation and student evaluation as components in the assessment of a faculty member's contribution as an instructor (see Administrative Memorandum on the Evaluation of Teaching, Implementing Senate Bill 9394-07, available in the Document Room). Peer assessment is based on a review of the faculty member's course syllabi, reading lists, and examinations. Testimony regarding first-hand and peer observations of performance in the classroom may also be included. The review also takes into account the faculty member's involvement in curricular or pedagogical initiatives - e.g., creating and teaching General Education courses, teaching writing-intensive courses, participating in Project Renaissance, serving in the faculty mentoring program.

The University at Albany has always been an institution that places a high priority and value on high quality teaching. Teaching is a core aspect of the institutional enterprise. Interest in and capacity for teaching is an essential element of consideration for each new faculty recruitment. Actual performance in teaching is also central in the review for subsequent term renewals, for continuing appointment, and for promotion in rank.

Teaching

The criteria and review process for continuing appointment and promotion are fully explained in the *Guidelines for the Preparation of Recommendations for Promotion and Continuing Appointment*, a document issued by the Office of the Provost and Vice President for Academic Affairs, and in the "University at Albany Guidelines Concerning Promotion and Continuing Appointment," available in the *Faculty Handbook* (both documents will be available in the Document Room). Lifetime appointment and promotion are among the University's most important decisions. These decisions are made following a careful, systematic process, involving parallel tracks for peer and administrative review of evidence documenting the candidate's performance and effectiveness in teaching, scholarship, and service. Under the University's rules, excellence in any one of the three areas can not compensate for a deficiency in another.

University decisions regarding initial faculty appointment, renewals, continuing appointment and promotion are based on the highest standards, consistent with those of a strong research university that also emphasizes excellent teaching and engaged institutional and professional service. The doctoral or appropriate terminal professional degree is the standard for all new appointments in unqualified academic rank (i.e., full, associate, or assistant professor). Candidates for faculty positions are required to demonstrate a capacity for quality research and strong teaching skills. Faculty members being considered for continuing appointment must provide evidence of nationally recognized research or creative productivity, excellent teaching, and service to the University and the greater community, activities in keeping with our institutional aspirations.

Criteria for Appointment, Continuing Appointment and Promotion

of the community must observe the approved standards and regulations governing the use of University services and programs.

Student course evaluations are also a useful measure of teaching effectiveness. Over the past decade the University's Office of Institutional Research has supported the Student Instructional Rating Form (SIRF), which is widely used in most departments to gather student feedback for individual courses at the conclusion of each semester. Data are collected in response to nine questions designed to poll student perceptions regarding the instructor's preparedness, communication skills, ability to stimulate interest, receptivity to students' ideas, availability outside the class, and performance standards. The form also asks for an overall rating for the instructor and for the course. The mean scores for overall SIRF student instructor ratings in each of the major colleges and schools are shown in Table 6.2 to demonstrate that, on average, University at Albany instructors score in the higher levels of the rating distribution (i.e., good to excellent). This performance is central to the quality and reputation of the institution's

Table 6.2: Student Instructional Ratings

Instructor Rating, Overall		
Fall 1990	3.89	College of Arts & Sciences
Fall 1998	3.98	School of Business
	4.10	Rocefeller College
	4.12	
		Upper Division (300 and 400 level courses)
	4.25	College of Arts & Sciences
	4.05	School of Business
	4.12	Rocefeller College
		Graduate (500 level courses)
	4.32	College of Arts & Sciences
	3.90	School of Business
	4.29	School of Education
	4.24	School of Public Health
	n/a	Rocefeller College
	4.30	

Scale: 1=Poor, 2=Fair, 3=Average, 4=Good, 5=Excellent

academic program. These data are valuable to faculty members in understanding and addressing weaknesses in their courses. The information is also useful for department chairs and others in monitoring teaching performance, in managing faculty teaching assignments, and in assisting faculty development. Documents describing SIRF, including sample data, are available in the Document Room.

The University at Albany recognizes exceptional teaching by faculty members in a number of ways. Teaching is considered, among other criteria, in reviews for discretionary salary increases as authorized by the bargaining unit agreement. Each year faculty members are also nominated and selected for excellence in teaching and advising awards at the campus and

In the 35 years that the University at Albany has been a University Center, it has achieved substantial national recognition for the quality of its research and graduate programs. During the past decade, the University's achievements in research have grown significantly as shown by increased faculty research quality and productivity and increased levels of external funding. In terms of external research grants, the past decade has seen an increase from \$60.0 million in 1991-92 to \$118.1 million in 1998-99 (see Table 6.3). These figures include external grants received through the SUNY Research Foundation, through Health Research, Inc., (the fiscal agent for grants and contracts for the NYS Health Department), and through the Rockefeller Institute. Grants come from a diversified funding base -- including federal agencies, national and international foundations, and state and local government agencies -- and have been awarded to faculty in all areas of the University. Moreover, the quality of research has brought high national rankings to several of the University's schools and departments, including criminal justice, social welfare, public affairs, public health, atmospheric sciences, biological sciences, physics,

Virtually every important institutional document stresses the importance of faculty research and scholarship to the mission and the core values of the University at Albany. As stated in the *Mission Statement*: "The mission of the University at Albany continues to be that of serving as a comprehensive research university wherein graduate programs in the Arts and Sciences and the professions reinforce each other and invigorate the undergraduate experience." Similarly, one of the core values outlined in the University's Statement of Strategic Values within the Strategic Plan is "Discovery-the Heart of a Research University," which emphasizes the centrality of "the pursuit and advancement of knowledge [both] for its own sake and for its practical benefits to society."

Faculty Research

While principal responsibility for the creation and delivery of the University's curriculum rests with the full-time faculty, part-time faculty have also provided important contributions to the academic program. A deep and extensive pool of highly qualified professionals who are both interested and able to teach on a part-time basis exists within the Capital Region. Indeed, in several fields the perspective of experienced practitioners is an integral and important component of a comprehensive educational experience. In recent years, however, Albany has had to rely increasingly on part-time faculty to maintain a rich and responsive schedule of course choices for students. For the fall 1998 semester, 24% of the instructors of record for all courses were part-time faculty, up from 16% in the fall 1995 semester. The percentage for full-time faculty deployed as the instructor of record declined from 49% in the fall 1995 semester to 43% in the fall 1998 semester. The participation from teaching assistants and other contributed sources held steady during the period. Such increased dependence on part-time faculty is a national phenomenon and has occurred at most major universities across the country over the last decade. However, in order to achieve our institution's instructional and research goals, it is essential that we continue to replenish our full time faculty ranks.

SUNY-wide levels. And outstanding candidates are advanced to the SUNY Trustees for promotion to the rank of Distinguished Teaching Professor.

The results document vividly and conclusively the remarkable progress Albany has made since becoming a University Center. Albany is classified as one of 55 *Research I Universities* (32 public and 23 private universities). Furthermore, Albany is ranked 11th of 21 "rising" public universities (based on the combined per capita scores for top science, top social science, and art

The most recent and authoritative national analysis that ranks universities was conducted by Hugh Graham and Nancy Diamond, and presented in their book, *The Rise of the American Research University: Elites and Challengers in the Postwar Era* (Johns Hopkins Press, 1997). Graham and Diamond studied 203 public and private universities and examined data between 1980 and 1990 on federal research grants, faculty publications, and faculty scholarship in the most frequently cited journals. They use multiple-year, rather than single-year, indicators and calculate their measures on a per faculty member basis. Thus, their study gauges faculty performance in funding and scholarship, over time, across the entire range of disciplines from medicine to the humanities. They then cluster the 203 universities into four groups from Research I (highest) to Research 4 (lowest).

The University at Albany currently ranks as a Carnegie Research II institution and aspires to Carnegie I status and membership in the American Association of Universities. Although the University at Albany lacks several of the professional schools often found at Carnegie I institutions (agriculture, law, medicine and engineering), the campus has a significant presence in the increasingly critical area of public health through the School of Public Health (a partnership with the New York State Department of Health and Albany Medical College). Other professional schools, including Business, Education, Information Science and Policy, Public Affairs, and Social Welfare also contribute significantly to the University's research and service missions.

Source: Office for Research

Year	Number	Administered through Research Foundation	Administered through Health Research Inc.	Administered through Rockefeller Institute	Total Awards Received
1991-1992	372	\$39,200,000	\$20,800,000	\$25,000	\$60,025,000
1992-1993	437	\$39,200,000	\$19,500,000	\$192,990	\$58,892,990
1993-1994	559	\$46,100,000	\$14,800,000	\$450,000	\$61,350,000
1994-1995	542	\$43,900,000	\$24,000,000	\$1,300,000	\$69,200,000
1995-1996	462	\$44,600,000	\$38,700,000	\$1,800,000	\$85,100,000
1996-1997	483	\$45,500,000	\$44,700,000	\$833,983	\$91,033,983
1997-1998	555	\$49,500,000	\$63,000,000	\$821,873	\$113,321,873
1998-1999	522	\$53,700,000	\$64,400,000	N/A	\$118,100,000

Table 6.3: External Funding (1991 - 1998)

sociology, and educational theory and practice. In addition, the University at Albany has acknowledged its responsibility to address societal issues by sharing the fruits of its research endeavors through regional, national, and international connections and partnerships.

Service takes many forms. Service to the profession includes activities such as journal editorships, leadership of conferences, invited presentations, and production of materials that contribute to a profession's collective effort aimed at research and education. Service to the community includes activities such as consultancies, presentations, and leadership for community groups. Service in the context of the institution includes a host of assignments in administrative and governance roles. Most importantly, it is through the research and educational programs of the institution that our University ultimately fulfills its mission of public service. In keeping with our commitment to pursue knowledge not only for its own sake but also for its practical benefits to society, faculty at Albany have come together in many areas of inquiry to assure that their discoveries address the complex issues facing society (e.g., informed environmental policy, disease prevention, information technologies, bioethics, school reform, social issues, etc.). Further, many of our faculty and professional staff (from disciplinary-based

The University at Albany also values service, in all the contexts that are important for the success of a research university. Faculty members at the university are encouraged, indeed expected to participate in the governance of the institution, at all levels of the academy, in their professional associations, and in public and community contexts that relate to their individual interests and expertise. At the junior ranks, faculty members are expected to demonstrate a willingness for service, and potential for contributing constructively in response to the service needs of their institution and profession. At the senior ranks, faculty members are encouraged to be more active in this aspect of the obligation, ideally moving into leadership roles and assignments.

Service

Numerous other national surveys also attest to the quality of our faculty's programs of research and scholarship (described in Chapter IV). The University at Albany's national stature, of course, is the direct result of the quality, dedication, and achievement of the faculty. Evidence of the excellence of this faculty is found in the research grants, discoveries and patents, publications in leading journals, and prestigious fellowships and awards received by the faculty, particularly over the past decade. While the overall numbers support our claim for excellence in research, the story would not be complete without describing some specific examples of individual and collaborative faculty research programs. These summary descriptions are provided in Appendix 6.1.

and humanities indexes). In terms of the number of publications per faculty, Albany ranks 10th among public universities, and 26th among all public and private institutions (just behind Cornell, MIT, Michigan, and Iowa). In regard to the quality of faculty publications (judged by the strength of the journals in which they appeared), Albany ranks 9th in the social sciences and 17th overall. Finally, in Federal Research & Development funding per faculty, Albany ranked 40th among all public, and 74th among all universities. Albany is especially strong in the social sciences where it is ranked 7th among public universities and 13th among all universities in terms of funding. These rankings are particularly noteworthy given the absence of agriculture, engineering, and medicine in the Albany program portfolio.

Under the Trustees' Policies, faculty members are eligible for sabbatical leave following six continuous years of full-time service in unqualified academic rank. The University at Albany also maintains a policy for Other (Research) Leaves which may be used in combination with a

large research awards. and assisting faculty in locating and obtaining individual fellowships and small grants as well as journal editing and conference sponsorship. The Office for Research is proactive in encouraging provided annually through small grants programs for faculty research and for involvement in critical for promoting and assisting faculty development. Additional important support is The University's policies and practices for awarding sabbatical and other research leaves are also incorporate new technologies and best practices into their courses and directed research projects. introduce and encourage faculty (full-time, part-time, and graduate teaching assistants) to assist faculty development and innovation in curricular design and pedagogy. Now located in the Teaching and Learning (CETL), described more fully in Chapter VIII, was established in 1994 to facilities and the refreshment and upgrading of existing buildings. The Center for Excellence in stimulating research and teaching environment through the construction of new academic concerted efforts that have been made, particularly in recent years, to provide a more vibrant and opportunities for renewal and professional development. This commitment is reflected in the The University at Albany recognizes the importance of providing faculty members with

Faculty Development

obligation will continue to be a priority in the next decade. elements of the faculty to be fully and meaningfully engaged in this aspect of the professional needs of their discipline versus those of their institution. Enabling and encouraging broad throughout higher education, faculty members are often conflicted in responding to the service institution there are many competing demands for the faculty's time and attention. As is the case The service culture at the University at Albany is still evolving. In an expanding research

President during the years in which the campus became a University Center. designation as a Collins Fellow, a faculty service award commemorating Ewan R. Collins, Service Professor. Faculty members are also nominated and considered each year for candidates are advanced to the SUNY Trustees for promotion to the rank of Distinguished considered annually for University awards for excellence in academic service. Outstanding as permitted under the bargaining agreement. Faculty members are also nominated and criteria, together with teaching and research, utilized to determine discretionary salary increases The University recognizes extraordinary service in several ways. Service is one of the

Document Room. public and private sector partners. Materials relating to these programs are available in the contribute greatly to the continuing education, retraining and enrichment needs of our many non-profit partners in developing and delivering extended learning opportunities. Such programs departments and through our various Centers and Institutes) interact with public, private, and

The University at Albany also offers several grant programs to provide faculty with professional development opportunities (see Table 6.5). The Faculty Research Award Program (FRAP) provides funds in partial support of faculty research and other creative activities. These funds are considered catalyzing agents for stimulating research and scholarly endeavors and as seed funding for projects that have potential for subsequent external support. In Category A, awards of between \$4,000 and \$10,000 are made to support substantial research projects that have a strong possibility for future external funding. Applications are judged at the University

Source: Office for Research

Year	Category A		Category B		Total
	No. of Awards	Dollars Funded	No. of Awards	Dollars Funded	No. of Awards
FY 1993	10	\$92,360	33	\$60,560	43
FY 1994	11	\$92,465	28	\$75,156	39
FY 1995	12	\$99,472	24	\$50,977	36
FY 1996	11	\$99,621	27	\$70,379	38
FY 1997	12	\$100,000	21	\$65,938	33
FY 1998	13	\$100,000	25	\$70,000	38
					\$170,000

Table 6.5: Faculty Research Awards Program - Funded Projects 1993-1998

Source: Office of Human Resources

Term	1994-95	1995-96	1996-97	1997-98	1998-99
Fall	25	10	22	14	15
Spring	34	22	22	17	18
Academic Year	8	4	9	10	9
Calendar Year	5	2	3	1	2
TOTAL	72	38	56	42	44

Table 6.4: Faculty Sabbatical/Research Leaves (includes Librarians) 1994-95 to 1998-99

prestigious fellowship or professional award should it be received before a faculty member is eligible for sabbatical leave. Data compiled by the Office of Human Resources show that, on average, during each of the past five years 50 faculty members have been granted sabbatical or other research leave (see Table 6.4). These leaves enabled faculty recipients to devote concentrated time to one or more research projects and to update course syllabi or create new courses. The number of leaves approved during this period, when faculty positions were declining, is noteworthy, and clear evidence of the importance and priority that the University gives to investing in scholarship and faculty development.

As a public institution the University at Albany has a strong commitment to diversity in both the student body and the faculty. The University's *Mission Statement* as well as its affirmative action guidelines stress this commitment. Advancing this commitment has been particularly challenging during the past decade, given the very limited opportunities the campus has had to recruit new faculty members. In the face of this challenge, the University at Albany has been very successful in increasing the representation of women and minorities among the faculty. Institutional performance in this area is monitored by the Office of Affirmative Action. Data from that Office are presented in Table 6.6, and show that in the fall of 1998, minority faculty comprised 12.4% of the faculty, up from 10.1% in 1990. Overall, there has been an increase in faculty of color across the three primary academic ranks (i.e., assistant, associate and full professor). Additionally, faculty members of color at this institution, unlike many other comparable institutions, are not concentrated in just one or two main disciplinary areas, but are distributed across a broad range of academic units.

As is the case in any university, the faculty are not simply teachers; they are role models for the students. As such, the University's strategic goal of providing "a distinctive, student-centered undergraduate learning experience which will be highly competitive as the result of intellectual coherence, rigor and engagement of the students with faculty in the process of inquiry and discovery" requires that our faculty not just be at the leading edge of their disciplines in research, but that they also connect and interact effectively with our students. This critical objective is supported by employing a diverse faculty that reflects in so far as possible the demographic profile of our students.

Faculty Demographic Profile

A campus Journal and Conference Support Program provides grants to assist faculty who have been selected by their peers to edit professional journals. Funds are also allocated annually to support research conferences. A Research Foundation/SUNY Equipment Matching Program matches, dollar for dollar, external funds raised for equipment purchases and renovation costs. All these programs have been established to promote the University at Albany as a place that values and supports the professional development of the faculty.

In Category B, awards of \$1,000 to \$4,000 are made to support more modest research and scholarly activities. Applications for these awards are evaluated within the applicant's college or school.

The University at Albany has a longstanding, strong commitment to the principles of

Source: Office of Affirmative Action, February 1999

Rank	Gender		% Female		
	Male	Female	1983	1990	1998
Distinguished	18	2	N/A	9.1	10.0
Full	183	39	4.5	5.1	17.6
Associate	116	71	15.0	21.8	38.0
Assistant	39	26	27.2	48.9	40.0
Research	1	0	N/A	N/A	0.0
Visiting Full	3	0	N/A	N/A	0.0
Visiting Associate	2	0	N/A	N/A	0.0
Visiting Assistant	10	9	N/A	N/A	47.4
Lecturer	8	14	35.5	56.3	63.6
Total	380	161	14.8	22.8	29.8

Table 6.7: Full-Time Faculty by Gender and Rank for Fall 1998
With a Percentage Comparison for Fall 1983, 1990 and 1998

The University has experienced even greater success in its efforts to recruit female faculty members. As shown in Table 6.7, the percentage of women faculty increased steadily over the past 15 years, and particularly since 1990 at Full Professor and Associate Professor ranks. The representation at the assistant professor level has fallen slightly due to limited recruiting during this period.

Source: Office of Affirmative Action, February 1999

Percentage Minority	Race/Ethnic Origin				1998		
	Black	Hispanic	Asian	American Indian	1983	1990	1998
Distinguished	1	1					10.0
Full	2	1	15	1	5.7	8.1	8.6
Associate	5	11	11	0	6.9	7.6	14.4
Assistant	5	5	3	0	6.8	17.6	20.0
Research							33.3
Visiting Full	1						
Visiting Associate							
Visiting Assistant			1	1			10.5
Lecturer		2	1		16.1	15.6	13.6
Total	14	20	31	2	5.9	10.1	12.4

Table 6.6: Full-Time Faculty by Race/Ethnic Origin and Rank for Fall 1998
With Percentage Comparisons for 1983, 1990, and 1998

Throughout the past decade the University focused both attention and resources on the recruitment and retention of high quality faculty. Even during the years in which recruitment was limited, concerted efforts were made to insure that we continued to attract and retain scholar/teachers with the requisite experience and expertise to contribute to the academic and research program of a major research university. As the decade progressed, a strategy for advancing the institution's national reputation and impact was honed, and as resources are

Recruiting and Retaining Faculty

Over the next ten years, we expect to continue to face many challenges in advancing the institution's commitment to diversity. The competition for women and faculty members of color will continue to be keen. We are especially concerned to redouble our efforts to recruit and retain more Black faculty members, ideally bringing them to the level for faculty members of Hispanic origin, where the institution is nationally ranked among research institutions.

In addition to campus initiatives, State-wide Joint Labor Management Committees fund several programs that have been instrumental in supporting and assisting the professional development of under-represented faculty members. The Dr. Nuala McGann Drescher Affirmative Action Leave Program provides for at least one semester, and up to one year, of full-time leave from customary professional obligations to allow individuals to engage in opportunities that prepare them for career advancement within the University.

The University has also instituted several programs to support departments in advancing their affirmative action goals. For example, the Target of Opportunity Program, initiated in 1985, enables departments to move outside the normal recruitment channels and constraints in order to bring outstanding minority candidates to our campus. An Affirmative Action Grants program provides resources that have been pivotal in increasing opportunities for people of color and women of all racial and ethnic backgrounds, as well as people with disabilities and Vietnam era veterans. The Initiatives for Women is yet a further example of a creative and highly successful program that raises funds from private gifts to provide financial support to women in order to further their educational and career goals, often while continuing to work and serve the University community.

Albany's commitment goes beyond basic statements of purpose and mission and focuses on active recruitment and retention of women and faculty members of color. As a community, we believe that the University's programs, offerings, and community as a whole have benefited and will continue to benefit from diverse representation in the student body and the faculty. These beliefs are reflected in the institutional policies and procedures governing the recruitment of new faculty. Prior to interviewing potential candidates, search committees must submit written reports to the Director of Affirmative Action indicating how the candidate pool was established and providing data about the race and gender of candidates who meet the minimum qualifications. The Director of Affirmative Action may recommend that additional recruitment efforts take place, in keeping with the University's determination to attract increased numbers of women and minority faculty members.

Over the decade of the 1990s, the University at Albany has experienced dramatic change. One enduring constant throughout this period, however, has been preservation of a high quality faculty. Despite dramatic reductions in State funding and the concomitant reduction in faculty numbers, the University has been very successful in continuing to support a highly productive,

Conclusion

A third major area of importance in attracting and retaining high quality faculty is to provide competitive salaries. (Information regarding faculty salaries will be available in the Document Room.) At the beginning of the decade, salaries on average for campuses of the State University of New York ranked in the top part of the distribution among institutions nationally. That position has eroded over time. While Albany's salaries are still well above the national averages for each academic rank for all four year institutions, they are slipping below the averages of many of our current and aspirational peer institutions. In the highly competitive environment for research faculty, Albany has been very successful in assembling attractive recruitment packages for new faculty. The University has also been successful in pro-active retention strategies and in providing counter-offers to keep highly valued faculty from moving to other institutions. This success, however, has created a funding problem that is common in research universities today. Salary compression is a concern in a number of our departments and disciplines. In many cases, new faculty have been appointed at comparable or higher salary levels than faculty with more years of experience. In some cases, productive senior professors receive less than more junior professors. The problem is exacerbated by a bargaining practice that traditionally favors across-the-board salary increases over discretionary awards. These inequities will persist until sufficient resources are obtained to address them.

In addition to facilities, the University must attract high-achieving graduate students to recruit and retain high quality faculty. While we are very proud of the accomplishments of our graduate students, we need to be more successful in competing nationally and internationally for the very best graduate students in the disciplines represented in the University's academic program. Over the past decade, graduate stipends have fallen significantly below the levels offered at both our current and aspirational peer institutions. This is recognized as a critical problem for the future of the graduate programs at all four University Centers of the State University of New York. Resources are being sought from SUNY and private sources to bring stipends to a more competitive level. In the shorter term, funds are being reallocated internally to assist doctoral programs in targeted areas of strength to attract highly qualified graduate students. In some cases, departments are collapsing assistantships to create fewer, larger awards.

Early on the University recognized the importance of high quality facilities for attracting and retaining exceptionally talented faculty. The institution has made real progress in expanding its physical assets (see Chapter VIII), and the support for the Campus Master Plan augurs well for the future. We are enthusiastic about the plans for adding much needed academic buildings over the next ten years, as well as for upgrading and refurbishing existing structures.

becoming available, the institution is investing to accomplish these strategic objectives.

nationally visible faculty. While limited in number, additions to the faculty over the past decade have stimulated and enhanced the intellectual and creative energy of the campus. The quality of the faculty is reflected in their effectiveness and achievement as teachers, in the national and international visibility and impact of their research and scholarship, and in their success in competing for external funds. In addition, Albany's faculty are increasingly being recognized for their invaluable contributions to the quality of life and economic vitality in the region, state and nation. Salary issues notwithstanding, we believe that the University at Albany has done incredibly well in assembling and retaining a distinguished and productive faculty during an extended period of economic uncertainty and constraint. However, given the major decline in the size of our faculty over the last decade (-18%), we must now develop the additional resources necessary to augment this remarkable group. Indeed, such augmentation of our faculty ranks will be essential if we are to continue our trajectory as a major research university. Hence, the identification of additional resources for faculty hires will be the campus' top priority in its private fund-raising, as well as in evolving partnerships with the private sector. We are confident we will be successful given the quality of our faculty's academic and research programs.

Chapter VII BUDGET AND FINANCIAL RESOURCES

Historical Perspective

The University's last accreditation self-study materials documented clearly the fiscal difficulties New York State experienced during the 1980s. State resources declined and the budget process for all state agencies was both burdensome and redundant. The resources and achievements of the University might have been expected to suffer greatly as a result, especially given concomitant student growth to more than 13,000 FTE, but the University's considerable efforts ensured that the decade was one of financial growth and program expansion. University planning and budgeting processes focused creatively on developing income streams from sources other than state allocated dollars, and the University was successful in garnering resources from targeted investments New York State was making in post-secondary education. Key among these was the appropriation of several million dollars to the Albany campus to support the Graduate Education and Research Initiative, a multi-year funding program (described fully at the time of our last accreditation review).

During the 1980s, the University at Albany developed what was recognized nationally as an excellent planning process, involving detailed unit budget requests in the form of 5-year rolling plans with annual updates. However, as the fiscal decline deepened, it became clear that this process was not adequately serving the needs of the campus since it was predicated on budget augmentation, not budget reductions and reallocations around institutional priorities.

Current Perspective: 1990s

New York State experienced continuous fiscal challenges in the early 1990s that translated into further State budget reductions to the University. Steep tuition increases were instituted SUNY-wide, and real gains in State-appropriated resources did not occur until 1998/99 (Table 7.1). Table 7.2 presents a detailed all funds operating budget for 1998/99.

During the same period, SUNY was granted greater financial latitude in managing State-appropriated resources, thus providing much-needed relief from rigid New York State policy and process. This phenomenon, known in New York State as "SUNY flexibility," allows a level of financial autonomy for SUNY and its campuses that goes far beyond that of other State agencies and gives each campus the capacity to address its own programmatic needs directly. Without this ability to manage funds more flexibly, continued growth during the period of fiscal decline would have been impossible. Moreover, during this period, a trend towards further decentralization from other State entities particularly the Office of the State Comptroller (OSC) and the Office of General Services (OGS) was also established. Although decentralization is often accompanied by increased workload, the campus has welcomed it. Some of the most significant decentralization efforts have been the following:

Finally, this shifting climate was accompanied by a change in the gubernatorial leadership of the State with the election of George Pataki in 1994. A broad-based change in the composition of the SUNY Board of Trustees ensued. The new Board has encouraged entrepreneurial activity, as well as fostered devolution of financial management to the campuses allowing, for the first time, campus retention of tuition revenues.

These programs demonstrate an overall reduction in the amount of State support received by the campus, but also a reduction in the amount of external control exercised. Although there remain very significant prohibitions against certain types of campus-level activity, such as setting tuition rates, the spirit of self-sufficiency has taken root, constituting a turning point for the University allowing entrepreneurial activity to increase and innovative business practices to be established. For example, for the first time university affiliated organizations were integrated into the campus financial planning process. The University at Albany Foundation (detailed description of the Foundation available in Document Room), which previously had a sole focus on supporting fundraising efforts, partnered with the Research Foundation to build CBSTM and to provide the financial infrastructure for the East Campus. The food service corporation, UAS, contributed \$3.4 million toward the construction of the Campus Center expansion, initiating a fuller financial relationship with the campus. Such initiatives coincided with unprecedented success in private giving to the university and support for sponsored research.

- Dormitory Self Sufficiency—along with the imperative to make residence hall operations self-supporting came the opportunity for the campus to exercise more control over the residence hall program. The climate and culture of the residence halls has improved dramatically over this period as a result.
- Dormitory Debt Service—prior to 1997-98 dormitory debt service was pooled for the entire State University system and then charged on an average per bed figure. In 1997-98, debt service began to be charged on an actual basis for each campus. This resulted in significant savings for the University at Albany; these savings allowed the University to embark on a facilities rehabilitation and renovation program for the first time since the residence halls were built. These steps have served to enhance even more the positive climate of the residence hall program. In fact, beginning in 1998-99, some students who desired campus housing could not be accommodated.
- IFR (Income Fund Reimbursable) Buyout—prior to 1997-98, campuses were required to forward to SUNY System Administration a set portion of the overheads charged on Income Fund Reimbursable accounts. In 1997-98, this practice was discontinued through a "buyout." While this was accomplished via a reduction in State appropriation, there was a net gain to the campus, in real dollars, and in self-control and flexibility as well.
- Summer Session Buyout—this was a similar program to the IFR buyout. Now the campus retains all Summer Session revenue. Once again this was accomplished via a State appropriation reduction.
- Reduction of Research Foundation (RF) Assessment—previously, each campus was obligated to pay an assessment to the Research Foundation of SUNY (detailed description of RF in Document Room) from indirect cost recoveries (ICR) in exchange for administrative services. Once again, this was accomplished through a reduction in State appropriation, but resulted in the retention of most of the indirect cost recoveries (ICR) on the campus. At the same time, many of the administrative services of the RF were delegated to the campuses.

¹ IFR – Income generating accounts including Dormitories
² Tuition – Income from Tuition
³ RF – Sponsored research funding, including indirect cost recoveries.
⁴ State – State tax dollar support for operating budget; excludes benefits and debt service.
⁵ UAF – University at Albany Foundation
⁶ UAS – University Auxiliary Services – campus auxiliary services, including food service, bookstore, vending and other.

Year	IFR ¹	Tuition ²	RF ³	State ⁴	UAF ⁵	UAS ⁶	Total
89-90	27.1	24.0	39.6	78.8	1.8	11.0	182.3
90-91	26.3	27.2	39.9	72.7	1.8	11.0	178.9
91-92	35.3	36.3	43.0	58.2	1.9	11.4	186.1
92-93	34.9	42.6	36.8	50.3	2.7	11.9	179.2
93-94	43.4	41.9	37.8	52.2	2.7	10.8	188.8
94-95	43.2	41.1	41.5	50.3	2.3	11.9	190.3
95-96	44.9	51.5	41.3	43.8	3.4	12.2	197.1
96-97	48.6	50.4	41.5	47.9	7.7	12.3	208.4
97-98	48.8	50.6	45.7	46.8	4.5	14.2	210.6
98-99	47.1	51.6	46.7	55.3	5.2	15.2	221.1

Table 7.1
 University Operating Budget Expenditure History by Fund Source (in millions of \$).

Table 7.2

Statement of Revenues and Expenditures, 1998 - 99

REVENUES	University Amount	Percent of Total
Tuition & Fees	\$51,600,000	23%
State Appropriations	55,300,000	25%
Federal Grants & Contracts	21,813,540	10%
State Grants & Contracts	15,606,246	7%
Private Gifts, Grants & Contracts	14,098,932	6%
Endowment Income	1,626,075	1%
Auxiliary Enterprises	64,609,091	28%
Total Revenues	\$224,653,884	100%
EXPENDITURES & TRANSFERS		
Instruction	\$39,013,831	18%
Research	50,068,791	23%
Public Service	5,000,230	2%
Academic Support	30,116,856	14%
Libraries	9,383,068	4%
Student Services	9,350,890	4%
Institutional Support	18,226,287	8%
Operation & Maintenance of Plant	14,403,750	7%
Scholarships & Fellowships	16,350,034	7%
Residence Halls	20,951,638	10%
Food Service	5,436,309	2%
Other	2,775,543	1%
Total Expenditures & Transfers	\$221,077,227	100%
Net Revenue	\$3,576,657	

Budget Allocation Process. By the 1990s, the method used for resource allocation to the campuses by SUNY had become dysfunctional. Resource allocation decisions were not made on programmatic or performance grounds, but rather on often-outmoded historic practices and special campus-specific arrangements. The Benchmark Methodology developed in the late 1970s, which distributed resources based on a 40-cell matrix, was no longer a viable mechanism. For one thing, actual State allocations had fallen well below 80% of the modeled need. In addition, it was too complex to be viewed by the Board of Trustees and the legislature as an effective tool. Finally, it had been rendered useless by the number of allocation decisions that were made "outside" of the benchmark.

⁷ The positive net revenue shown relates, in total, to the increase in net assets from the University at Albany Foundation and University Auxiliary Services.

Research and Public Service funding amounts to 21.3% of the State tax dollar investment, with the remaining 4.1% being used to fund special campus mission adjustments that cannot be funded appropriately within the formulas derived. The Research and Public Service funding amount is derived largely from either existing State investment in these functions or as a percentage of sponsored research expenditures.

The BAP is heavily driven by enrollment. As Table 7.3 indicates, the allocation of 74.6% of the State tax dollar investment in SUNY campuses is driven by enrollment-related factors. The enrollment component of the BAP is a 12-cell matrix of student levels and various discipline groups, including those that are health-related. Relative cost and State support percentages are assigned to each cell. A funded enrollment level for each campus is computed based on three years of data, weighted most heavily toward the planned enrollment for the current budget year. Also included is funding for graduate student support. (The amount allocated to graduate assistant support, however, was based on historical allocations and in no way reflects the real need of the campuses if they are to be nationally competitive.)

The stated objectives of the BAP are to "enhance access, quality, efficiency and research activity, to strengthen the relationship between State support and campus missions," and to "maintain an open and predictable process for the allocation of resources and fiscal accountability." One of the major components of the BAP includes campus retention of tuition and other revenue, which previously had been pooled and returned to the campus as part of the State appropriation. State tax dollar support is provided according to formulas for enrollment-related activities including instruction, institutional support, and departmental research. In addition, State tax dollar support is provided, again via formulas, for research, public service, and sponsored activity. Specific funding tied to various performance measures is intended to begin in 1999-2000.

A move toward the development of a new resource allocation methodology (RAM) began in the mid-1990s. The Board of Trustees embraced this process as a way to bring performance and equity into the resource allocation process, while at the same time making it easier to understand which in turn built credibility. The RAM methodology was developed (and subsequently renamed the Budget Allocation Process, or BAP, in 1998) as a joint effort of representatives from the Chief Academic Officers of the campuses, the Chief Financial Officers of the campuses, and staff from SUNY System Administration. A number of subcommittees were formed to look at specific components of the BAP, and campuses were broadly represented on these sub-committees. A report was submitted to SUNY for review in October 1997. Campus presidents were consulted as well as the SUNY Faculty Senate, the Legislature and New York State Division of Budget staff. The final report was submitted to the SUNY Board of Trustees in the spring of 1998. The Board of Trustees utilized this new allocation process for the 1998-99 SUNY fiscal year beginning on July 1, 1998.

Budgeting Strategies in the 1990s. The University's planning and budget strategies since its last Middle States accreditation review have been under the direction of two Presidents. H. Patrick Swygert assumed office on August 1, 1990 and soon after articulated guiding principles under which resource allocation and reduction decisions were to be made. President

One additional component of the BAP, yet to be introduced, is that of performance funding. The application of this component depends on the successful completion of a Mission Review process being conducted between SUNY System Administration and each campus. (See Chapter II for a discussion of this process at the University at Albany.) When mission plans are approved for each campus, some portion of BAP funding will be distributed reflective of successful achievement of mission. The stated goal is to use both existing and new State support for such performance funding.

The long-term effectiveness of the BAP depends, in part, on whether SUNY as a whole garners additional resources from New York State. The BAP provides great incentive for growth; but, in a zero-sum atmosphere, the only funding for growth of the strongest campuses would come from like reductions on other campuses. To implement the BAP fully and thus optimize its benefits, over time additional resources will be required from the State. Nevertheless, because the Albany enrollment plan is one of growth, we anticipate that we will receive additional resources again in 1999-2000 and in the years that follow.

To avoid major disruptions in the early years of implementation, the maximum reduction for any campus targeted to lose funding via the application of the BAP was capped for the first three years. The impact of this on campuses targeted for increases is that full BAP funding is not achieved. Nonetheless, the application of the BAP in 1998-99 resulted in significant funding increases for the University at Albany. The methodology clearly indicated that Albany had been grossly under-funded for many years. Had full BAP-predicted funding been received, the campus would have had a 3.7% increase. While the actual increase was 1.7%, the campus was able to set in place a recruitment plan for the fall of 1999 that was sufficient to increase the size of the faculty for the first time in a decade.

TOTAL CAMPUS STATE SUPPORT	100.0%
Instruction Related	74.6%
Enrollment Based	64.8%
Graduate and Other Tuition Support	4.6%
Core Institutional Support	2.7%
Geographic Differential	2.5%
Research and Public Service	21.3%
University Research Initiative	2.5%
State Initiated Institutes	2.1%
Land Grant & Forestry Missions	6.8%
Sponsored Activity Support	9.9%
Campus Mission Adjustments	4.1%

Table 7.3
BAP Distribution of State Support

In the late 1990s, the University Resources and Priorities Advisory Committee was created to replace the Long Range Resources Advisory Committee. This new committee was established to advise the President on the explicit linkage of budget allocations to the goals of the new Strategic Plan. It is a committee comprised of members both elected by the faculty and

onto fee-based revenues). In the early 1990s the University Budget Panel was convened annually to review in great detail the allocation plans of each academic department and administrative unit on the campus. In the mid-1990s, the Long Range Resource Allocation Committee was born out of a need to consider the overall financial health of the institution in the context of the changing budget environment of New York. It was this committee which was charged with studying the practice of reducing and/or reallocating state support (except for those related to vital health and safety issues) for non-academic services (e.g., reviewing plans for moving certain services such as the Bus Service

The Budget Process and the Link to the Strategic Plan. As the budget and planning process evolved through the nineties, so too did the consultative process. As noted in Chapter II, in the early 1990s the University Budget Panel was convened annually to review in great detail the allocation plans of each academic department and administrative unit on the campus. In the mid-1990s, the Long Range Resource Allocation Committee was born out of a need to consider the overall financial health of the institution in the context of the changing budget environment of New York. It was this committee which was charged with studying the practice of reducing and/or reallocating state support (except for those related to vital health and safety issues) for non-academic services (e.g., reviewing plans for moving certain services such as the Bus Service

Through most of this time, the goal was to protect the core academic enterprise to the extent possible from funding reductions. However, given the extent of the overall reductions, over 100 faculty lines were lost. Actual program loss was avoided with the exception of the German program, which was eliminated in the mid-1990s due predominantly to low enrollment. Through most of this time, the goal was to protect the core academic enterprise to the extent possible from funding reductions. However, given the extent of the overall reductions, over 100 faculty lines were lost. Actual program loss was avoided with the exception of the German program, which was eliminated in the mid-1990s due predominantly to low enrollment.

For example, service-related fees were utilized to generate funds to meet the needs of the campus. Many of these were student-based fees for services not central to the academic mission of the institution that had been previously subsidized with State funds. An example of this strategy is the Bus Service. The campus had been operating a bus service to shuttle students between the uptown campus and the downtown residence halls and the downtown academic complex, a service highly subsidized by State funds. When students were faced with the prospect of losing this service due to budget reductions, they agreed to bear the full cost of it. Additionally, during this period of time, a technology fee was introduced to help address the burgeoning costs of keeping technology current. Over this time period, many non-core academic services were devolved from State support to such a fee-based system of support.

Under President Swygert, the budget process was decentralized to Vice Presidential divisions. Typically, each division was given a reduction target, based generally on the percentage share of the State-funded appropriation. Reductions often included eliminating vacant lines, reducing service levels or slowing down the pace of preventive maintenance. Clearly, such budget exercises resulted in "doing more with less—and doing it better." The campus was challenged to review its practices very strenuously and evaluate each resource allocation. The identification of alternative funding sources became critical during this period.

Swygert's financial planning principles stipulated no retrenchments or reductions in teaching faculty, Graduate/Teaching Assistants, permanent Library Services and Computing Services personnel, and health and safety programs and personnel. President Swygert's resource allocation decisions were informed by the annual deliberations of first the University Budget Panels and later the Long-Range Resource Allocation Committee, an advisory body composed of broadly representative faculty members and professional staff.

Further, the Committee reviewed the long-term impact on the campus' operating budget of the new facilities being erected as part of the campus Master Plan (see Chapter VIII). Capital project funding is not accompanied by operating budget increases for additional staff. Hence, continued growth in non-state support (i.e., research grants and private philanthropy) will be essential as new facilities come on line. Such longer-term financial analysis and planning is essential. During the downturn in State support of the early nineties, the University community grew accustomed to a budget process that was more focused on short-term needs. Such an

In conjunction with a brightening fiscal picture and using the Strategic Plan as a backdrop, a new budget process was articulated for the 1999-2000 fiscal year. This process, still in the development stage, embraces all funding sources to the University. Each college and school was asked to conduct a thorough review of all of the resources available to it and identify what elements of the University's Strategic Plan could be accomplished through both reallocation within the college as well as through the use of additional resources. Both elements - reallocation and requests for new resources - were included in the unit's detailed budget request. Business plans were also requested for all new initiatives that involved revenue generation.

Over the past decade, the University at Albany's planning and resource allocation processes have been broadly inclusive of all categories of the University community: faculty, staff and students, both graduate and undergraduate. Many mechanisms were established to ensure this pattern of broad representation, including: asking the Deans of the various schools and colleges to nominate faculty and staff for key planning and budgeting committees, asking student government for nominations, and recently, conducting campus-wide solicitations of nominees and election of faculty members for the important Resources and Priorities Advisory Committee. During the hearings held by the self-study Sub-Committee on Planning and Resource Allocation (for this accreditation review) to elicit comments from members of the University community on its charge, all agreed that, given the pressures of time and competing commitments, all major categories of the University have been included in the planning and resource allocation processes.

appointed by the President (previous committees were all presidentially appointed). All members now serve for a three-year term (versus one-year) to provide for continuity and the development of requisite expertise regarding the budget. As President Hitchcock stated in her Fall 1998 Report to the Faculty, "... this Strategic Plan is all about institutional priorities... about allocating resources—both human and financial—in ways which reflect and advance such priorities" (President's Report to the Faculty, October 13, 1998, p. 5). In order to make recommendations with a solid knowledge base, the committee reviews the University's enrollment plans, the BAP and other major financial initiatives. It also reviews the budget requests submitted by the various vice presidents to be sure that each request furthers the Strategic Plan, and makes recommendations to the President on campus-wide fiscal policy (e.g., fees). In reviewing the 1999-2000 campus financial plan, the committee affirmed specific budget priorities including: continuing to increase the size of the faculty, increasing the level and number of graduate stipends, initiating an ongoing investment in technology infrastructure, providing seed capital for new initiatives, increasing the development staff in University Advancement, building the infrastructure to support Division I athletics, and providing investment for additional facilities personnel.

All-Funds Reporting and Management. The University has spent considerable time analyzing the best way to achieve all-funds reporting and management. Initially, one objective was to have the PeopleSoft system be the point of entry for *all* activity (State, RF, Foundation, etc.), allowing the capture of financial information up front. Information would then be channeled on a near real-time basis to SUNY System Administration, the Office of the State Comptroller (OSC), and the Research Foundation (RF) via a software interface. However, the complexity associated with implementing both the PeopleSoft and OASIS projects

achieving all-funds reporting and management. of accounts will provide us with consistent data to pull together and is the first step towards to their legacy application to implement this chart as well. Implementation of the common chart be-implemented OASIS system, and SUNY System Administration plans to make modifications to define a common chart. The Research Foundation plans to adopt this chart within the soon-to-representatives from many of the SUNY Campuses including Albany, undertook an effort to difficult to accomplish, SUNY System Administration and the Research Foundation, without this common underlying structure all-funds reporting and management would be extremely difficult process since each entity uses its own Chart of Accounts. Recognizing that be extracted from all of these systems and input into a separate spreadsheet or database – an Chair, Dean, or Vice President to get a full picture of the financial status of their unit, data must UAS activities are found in the DataTel products administered here on campus. For a Department of the State Comptroller's Central Accounting System. University at Albany Foundation and State, DFR, and IFR activity are accounted for through the SUNY GAAP system and the Office multiple sponsor, and indirect cost activity are accounted for in the Research Foundation system. financial information is found in various systems depending on the funding source. Grant, provide the University with all-funds reporting and management capabilities. Currently, **A Common Chart of Accounts.** A major goal of this PeopleSoft implementation is to

campus groups and implementation of individual modules began in March, 1999. products were selected as the platform. The IAS project has had broad participation across all financial, human resources and student record administrative systems. PeopleSoft software intensive, multi-year project (Integrated Administrative Systems project or IAS) to upgrade its reliable and consistent information to students, faculty, and staff, the University has launched an out-dated, inflexible, and difficult to maintain. In order to assure that we continue to provide systems at the University are now Y2K compliant, it is also clear that they lack integration, are inadequacy of the campus' existing administrative systems. While all of the administrative

One of the difficulties in supporting the aforementioned all-funds budget process is the

Administrative Systems

approach is not sufficient to the needs of an institution engaged in implementing major capital programs and a Strategic Plan that embraces ongoing programmatic and enrollment growth. Although the financial planning tools required for such financial planning will not be complete until related information systems shortcomings are addressed (see below), the University is now able (in part due to the formulaic nature of the budget allocation process) to forecast operating support over a multi-year planning horizon. Such strategic planning will serve to stabilize our fiscal environment and assure the resources needed for institutional growth.

simultaneously, as well as reconciling to the SUNY, OSC, and RF systems precludes near-term use of all PeopleSoft functionality. To accomplish all-funds reporting and management, certain of the legacy systems will continue to be used with data merged after the fact via a "back feed." We are in the early stages of defining what data we need and how we will accomplish this, and will be involving the University community in this effort.

Simultaneous with this activity, a review of all financial processes will be undertaken to ensure a best practices approach to financial management. Indeed, the broader PeopleSoft project that also includes implementation of Human Resources and Student Records modules will involve the same approach.

OASIS. In July 1998, the Research Foundation (RF) initiated a strategic initiative to implement the Oracle suite of business applications to replace its existing software systems. The goal of the project, named Oracle Application Software Implementation Strategy (OASIS), is to provide the 30 RF operating locations within the State University of New York, including 29 campuses and system administration, with the integrated technology required to ensure effective support of all aspects of sponsored program administration. The benefits of the OASIS Project include:

- Improved reporting capabilities for management decision-making
- More user-friendly graphical user interface that will be web-based
- Better access to project information for project directors and project personnel

To execute the OASIS Project, a comprehensive group of central office and campus staff was assembled. The group consists of a Steering Committee, a Project Office, a committee of campus leaders (OASIS Inter-Campus Committee), and central office and campus groups/teams. In order to coordinate the implementation of the OASIS Project in the context of the University's IAS Project, the University at Albany established an IAS/OASIS Integration/Implementation Team. The team is made up of IAS team leaders and key RF staff members.

Two phases of the OASIS Project have already been completed. The purpose of Phase I, Definition and Analysis, was to document current business baselines and develop desired future business processes. Phase II, Solution Design, created a detailed system design based on information from Phase I. Starting January 2, 2000, the OASIS Project entered Phase III, the Build Phase, expected to last until September 2000. Phase III will include final system design, focus group meetings to prepare campuses for business and policy changes, and development of training and transition materials. The University campus team will devote its efforts to determining the nature of expected changes to current business processes and the resulting impact on the various RF offices on campus. The campus team will also develop a strategy for implementing the training and transition plan on campus. The OASIS Project is expected to be operational on January 1, 2001.

Assuring Financial Vitality

The University at Albany, like public universities across the nation has to be much more creative in identifying and obtaining the funds necessary to support its academic programs. In order to solidify the University's financial base, a variety of strategies have been developed over the last several years to maximize the campus' allocation of State resources while, at the same time, developing new partnerships and mechanisms to expand and diversify the University at Albany's sources of revenue so as to assure its continued evolution in the context of its mission and strategic goals.

Strategies include:

- Increasing the role of the University at Albany Foundation in supporting the development of partnerships with government, not-for-profit organizations and the private sector to expand opportunities for high-quality programs of research and instruction, and, at the same time, create new sources of revenue for the University at Albany.

In the mid 1990s, the University at Albany Foundation (UAF) emerged as a central force in the creation of strategic partnerships. In addition to providing stewardship of all philanthropic efforts, the Foundation Board, comprised of business and community leaders (list of Foundation members available in Document Room), has taken on a lead institutional role for real property management and entrepreneurial activity. The public/private partnerships spawned through the Foundation have contributed significantly to the financial stability and the research agenda of the University.

The financing (and management) of CESTM epitomizes the critical role the UAF can play in developing and implementing innovative strategies for the financing of new campus facilities and programs. To finance this 75,000-square-foot, state-of-the-art research facility, a joint and cooperative effort involving private fund-raising, governmental relations (state and federal), and corporate partnerships was undertaken. The UAF (in affiliation with the RF) established a corporation, Fuller Road Management Corporation, to build and manage this new high-technology facility. Land owned by the University was leased (with legislative authorization) to Fuller Road Management, and construction was managed efficiently and rapidly by this not-for-profit entity. Funding for CESTM included a \$10-million State economic development grant, a \$2-million federal grant, and \$1.4-million in contributions from businesses and individuals. This non-traditional funding and management model represented a new paradigm for the University, a new way of developing the resources essential to advance the research and education mission of the University.

Dedicated in 1997, CESTM has made it possible for the University to move the best ideas of University researchers into the marketplace. It has brought together under one roof University researchers and start-up businesses, and has created a synergy that has already enhanced the economic vitality of the region. CESTM houses the University's renowned Atmospheric Sciences Research Center (ARSC) along with a National Weather Service Forecast Office. CESTM is also home base for the New York State Center for Advanced Thin Film Technology

Prior to 1998 Coca-Cola did not have a campus presence. However, in the spring of 1998, a plan was developed with Coca-Cola for providing a fuller array of soft drink-related services to the student body. The ensuing partnership yielded approximately \$6 million in support to the campus over a ten-year period. In addition to immediate support of \$250,000 to both the new library and to endowed scholarships, Coca-Cola also developed a series of ongoing activities that will enhance the quality of student life. These include support for orientation weekend and other hallmark events as well as activities revolving around athletic contests.

University resources have also been expanded through partnerships with some of our major business partners. In 1998, the University developed strategic partnerships with Barnes & Noble and Coca-Cola that will greatly advance campus objectives. Recognizing an existing harmonious relationship with the University, Barnes and Noble agreed to contribute to the construction of the campus' new Library. Their gift of \$500,000 was the first large corporate gift to the Library project and served as the impetus for the recently completed Kresge Challenge Campaign. Barnes & Noble also responded to the need for scholarship funds (\$250,000), \$150,000 of it in the form of endowment.

In 1996, the University, also through the University at Albany Foundation, acquired a new 58-acre campus. Located at the former Sterling Winthrop complex in East Greenbush, New York, the "East" Campus brings together modern office space and high-tech laboratories in a venue that maximizes the University's research and development strengths in the area of biotechnology and biomedical-related research. Just as with CBSTM, the facility's mixed-purpose buildings provide an interactive, dynamic environment for uniting the University's research institutions. Indeed, it is this concept of close university-private sector partnerships that the Legislature has embraced in funding these major new University initiatives. In addition to being the home of the University's School of Public Health, the East Campus has already attracted thirteen incubator companies and is in negotiation with several other firms. It is expected that, within five years, the East Campus will be home to approximately 1,000 employees dealing with a variety of scientific and economic projects in biotechnology, social and life sciences, public health, biomedical engineering and several other fields. Neither of these major research initiatives would have been possible without public-private partnerships supported by the State (and Congress) and creatively executed through the University Foundation.

(CAT). Since its inception in 1993, the CAT has grown into a leading resource for the microelectronics industry, a place where businesses, in partnership with CAT researchers, develop and test new concepts and technologies. Since 1993, through contributions from industry, the CAT has created a \$75-million integrated Class I clean room-based research, development, and pilot prototyping facility using a 200-mm platform for microelectronics, optoelectronics, telecommunications, and bioelectronics. Indeed, with the support of the 1998 State Legislature, the University received \$10-million toward constructing a third wing to CBSTM. This wing will house a pilot prototyping component and workforce training component.

- Legislative Authorization for Fuller Road Management to construct an addition to CESTM
- \$12.5-million for a new Pilot Prototyping/Workforce Training Facility at CESTM
- \$5-million to support Biotechnology at the East Campus
- \$5-million per year to match a major new national Center grant in microelectronics (received in partnership with RPI)
- Eligibility for NY State's \$2.5 million Caseworker Education Program for the School of Social Welfare
- \$1-million for a Fuel Cell Institute (over 2 years)

The 1998 & 1999 Legislative Sessions also yielded significant support for other University programs. In addition to the strength of relationships cultivated with key legislators, the University was successful in garnering such additional resources due to the demonstrated success of prior public investment-most notably CESTM and the East Campus. Specific initiatives supported by the State (and the Congress) over the past three years include:

Master Plan highlights are described in fuller detail in Chapter VIII.

- A new Life Sciences Building;
- Renovation of Husted Hall on the Downtown Campus for academic use;
- Renovation of the current Administration Building for academic use;
- A new art building/sculpture studio;
- A new Public Safety Building;
- New technologically advanced "smart classrooms," and
- Various infrastructure improvements, replacements and renovations.

Plan includes funding for:

Such a major investment in our campus will ensure that the quality of the University's learning environment will match the outstanding quality of our faculty and students. Briefly, the Master Plan includes funding for:

Education Capital Construction Plan in 1998. With the exception of the new library, this was the first time since 1966 that the University had received state resources to construct new academic buildings and undertake major facility renovations. This major state allocation was the result of greatly increased advocacy, not only on the part of the University, but also its business partners. Such a major investment in our campus will ensure that the quality of the University's learning environment will match the outstanding quality of our faculty and students. Briefly, the Master Plan includes funding for:

A Master Planning process initiated by President Hitchcock (see Chapters II and Chapter VIII) culminated in the University at Albany receiving \$120 million from the NYS Higher

- Emphasizing advocacy with government leaders in an effort to secure greater support via special Legislative (and Congressional) initiatives.

Most of the above initiatives were managed with the direct support of the University at Albany Foundation. Further, the Foundation serves as the agent for all real property acquisitions including a new president's residence and an office building which was acquired to complement the Campus Master Plan. Finally, the Foundation also now manages the financial affairs of the University affiliated food service corporation, UAS. All of these Foundation-facilitated initiatives have been critical in enhancing - and diversifying - the University's resource base.

Other strategies to expand and diversify the University at Albany's sources of revenue have included: the development of increased numbers of on- and off-campus continuing education and degree programs (e.g., non-degree, Master's, etc.) that reflect the University's strengths, address societal needs for life-long learning, and generate revenues in support of academic programs; the establishment of initiatives to increase the awareness of the state and the nation (Economic Impact Statements for 1990-1999 and 2000-2010 available in Document Room); the development of programs to increase alumni participation in the life of the University (see below); and, the establishment of enrollment strategies for recruitment and retention, so as to maximize the quality of the University at Albany student body, as well as the institution's level of support derived from tuition and state-tax-dollar appropriations. Taken together, these strategies have led to the increase in overall University resources essential to successful fulfillment of the institution's goals and aspirations.

As already noted, the SUNY Board of Trustees recently devolved the dormitory fee "bed tax" that had been pooled in the past to pay off SUNY-wide debt service. By permitting the University to pay its actual debt service costs, additional revenue has been generated by our dormitory operations. As a result, the University has been able to invest heavily in extensive renovations of residence halls, and to accomplish rehabilitation and refurbishing at a much more rapid pace. Dutch Quadrangle tower, the original residence on the uptown campus, was the first to be completely "rehabbed." On Alumni Quad, Pierce Hall has reopened after a major rehabilitation with a completely refurbished dining hall. Morris Hall on Colonial Quad has been thoroughly rehabilitated, as have been several lounge and tower penthouse areas so as to provide study areas for residents. Approximately 1,000 sets of new residence hall furniture have been added each of the past few years, and all five Quad dining halls have undergone major renovations. For students with computers, all residence halls now offer a high-speed connection to the Internet, as well as to the University's many on-line resources. New fitness and weight rooms also add to the appeal of residence halls. As testimony to the University's commitment to maximizing the advantages of devolution so as to significantly improve the quality of life for resident students, the 1999-2000 fiscal year budget has set aside \$4 million for additional improvements to student housing.

• **Optimizing devolution of Residence Hall financial management.**

- \$1-million from Environmental Bond funds for the Atmospheric Sciences Research Center
- \$500,000 from the Congress for a Semiconductor Workforce Training Initiative at CESTM
- \$375,000 to establish a Center for Minority Health Education Research at the School of Public Health (over three years)
- \$300,000 for Study Abroad Programs (over 3 years)
- \$185,000 for the Air by Design Project to help fund "clean rooms" for a joint research project with the CAT
- \$150,000 in matching funds to leverage purchase of a cluster tool for research in semiconductor manufacturing
- \$100,000 to help establish the Institute for Advancement of Health Care Management.

Increasing Levels of External Support for Research

The University has been especially successful over the past decade both in diversifying the sources of extramural funding and in increasing the amount of extramural support for its research programs. While the University's *Strategic Plan* sets goals that highlight the role of research at the University at Albany, Albany's commitment to research has been ongoing. Indeed, the past decade shows considerable and notable advances in research administration and Sponsored Program management at the University.

To enhance the efficiency and effectiveness of research administration and encourage

faculty to work closely with the personnel who administer their grants, the State University

Research Foundation (SUNY RF) decentralized several sponsored funds activities to the

individual university centers. In 1990-91, SUNY RF devolved the functions of award and

contract acceptance, writing sub-award contracts, account establishment, conduct of award

administration business, and numerous payroll, personnel and purchasing functions. SUNY RF

further devolved the functions of technology transfer and property control to the campuses in

1995. The technology transfer component promotes business incubator development utilizing

University at Albany technology and fosters mutually beneficial interactions between the

companies and University researchers. In 1999, the SUNY RF also devolved to the campuses

primary responsibility for signing off on indirect costs. These actions, taken together, have

increased the efficiency of Sponsored Programs administration and have supported the growth of

awards received in Research Foundation accounts by University researchers from \$41.1 million

in 1989 to \$53.7 million in 1998. During the same period, expenditures grew from \$39.6 million

to \$46.7 million. There is every indication that this growth will continue to accelerate in the next

several years.

In 1998, as an incentive to foster further growth in research, the University administration made a commitment to share 10% of the indirect cost revenues returned to the campus with departments/centers (8%) and deans (2%) that were directly responsible for generating these funds. The Division of Research has recently clarified the policy on Indirect Cost Sharing to ensure that these funds are used to support research activities on the campus. The University and the Division of Research directly support individual faculty research initiatives in many other ways. For example, new faculty members receive priority for allocations for computing equipment and laboratory set-ups, and routinely receive internal resources to help them start research activities. Moreover, the Division for Research allocates 15% of its indirect cost return (representing 31% of the campus total) to support faculty research initiatives through the competitive Faculty Research Awards Program (FRAP) (\$170,000 per year), Conferences and Journals (\$57,000 per year), and matching/cost sharing to secure external grants (approximately \$250,000 per year). These internal grant programs are administered through the University Senate's Council on Research.

The Division of Research relies heavily on the University Senate's Council on Research, which functions as a planning, budgeting, and administrative body. The Council consists of a rotating membership comprised of seven teaching faculty members, two of whom are University senators, a professional staff member, two graduate students and one undergraduate representing

Business Incubation. Planning for the University's Business Incubation Program began with a market positioning study for the University at Albany Incubator by Price, Waterhouse, Coopers in January 1995. In September 1995, the Director of Technology Development, Mr. Eugene Schuler, who also holds the title Assistant Vice President for Research, was hired to initiate a business incubation program. Companies took up residence in April 1996, on the East Campus, and in July 1997, at CESTM. Since then, five companies have located at CESTM (three remain) and thirteen companies have located at the East Campus (of which eight remain). A key goal of the program is to grow high-technology business and generate jobs in the Capital Region (over 150 jobs have been created to date) even as University researchers and students are provided the opportunity to collaborate with these start-up companies.

For the past five years, the University has also been developing two new programs that harness its extensive research capabilities for the goal of economic development—and in the process, generate new sources of revenue for the University from private-sector partners:

The Vice President is also considering earmarking funds specifically toward increasing graduate assistant stipend levels in strategically important research areas. This would ensure that the University is competitive with our current and aspirational peers, and that key areas for research development are not impeded by inadequate access to graduate students. In addition, the Vice President will be re-examining all outstanding financial commitments to assess the value of the return in proportion to the value of the contribution. Finally, the Office for Research has initiated on campus the *Community of Science* database that features biographical data on all researchers of national and international repute from over 200 educational institutions. The benefits from having University researchers included in this database are worldwide recognition of the University's scientific expertise and the potential for collaborating with other researchers from federal agencies, research centers, and universities. It also helps target research opportunities directly to University researchers.

Dr. Christopher F. D'Elia, who joined the University at Albany in March 1999 as Vice President for Research and Operations Manager of the SUNY RF, is committed to developing a strategic plan for the Division that complements the University's Plan. Under his direction, the Division has held a retreat and subsequent discussions and has prepared a document now under consideration by the President. This plan focuses heavily on attainment of specific outcomes, improving research support services and developing strategic directions for the University's research programs. Consistent with this strategy, Dr. D'Elia, with the advice of the Council on Research, is reviewing all research-related policies and guidelines to assure that they present a clear and consistent message to University researchers without burdening the process with needless bureaucratic impediments.

a broad cross-section of the University community. In addition to administering the University's internal grant programs (FRAP, Conferences and Journals, and Benevolent Grants), the Council reviews all Division policies and procedures relating to research activity and makes recommendations to the Vice President for Research. The Council also reviews research activities and allocation of research funds within the University to maximize ways in which the University can increase the efficacy of its research enterprise. In its deliberations, the Council constantly seeks ways to advance the research activities at this University.

The Office of University Advancement is charged with undertaking the activities necessary to increase the amount of private, philanthropic support the University and its components receive. The Office encompasses functions within three broad areas:

- Generating philanthropic support for University priorities
- Relationships with alumni

Increasing Levels of Private Philanthropy

A compilation of major research programs at the University at Albany is found in Appendix 6.1 and in the Document room. Additionally, *The President's Report* annually highlights the past year's significant faculty research achievements and scholarship, as well as other important University intellectual, cultural, and artistic events. Copies of representative *President's Reports* are also available in the Document Room.

All of these initiatives have been developed to support quality research programs at the University at Albany and to identify creative mechanisms to increase and diversify sources of research support. Taken together, they have led to major advancements in the level of externally-supported research activity on the campus over the last decade.

Technology Transfer. In January 1997, the University created its own campus technology transfer program, also managed by the Director of Technology Development. Prior to this date, the SUNY RF centrally administered the program for all campuses. In the first two years of its existence, campus royalties have increased, marketing brochures have been created, and a web site has been established (<http://www.albany.edu/research/office>). The main purpose of this program is to fulfill the requirements of the Bayh-Dole Act, that is, to move technology developed by the University to the private sector to benefit the citizens of the State of New York and the nation and to further the economic development mission of the University. This program also helps meet the intellectual property needs of University researchers as they transform their research discoveries into practical innovations and applications.

One of the primary reasons for the early success of this program is that the start-up businesses are interspersed with University laboratories, not relegated to a separate building as is the case for most university-related business incubators. This means that there is frequent contact between the University faculty and personnel associated with the companies. It also means that the University and its partners can develop and share core facilities and more easily undertake joint projects. Taconic Biotechnology and the University have, for example, just been awarded a major NIH grant to serve as one of four regional facilities in the country for the development and supply of mutant mice.

In addition to its Business Incubation Program, the University also provides space at the East Campus to larger, growing technology companies, referred to as "anchor tenants," such as Albany Molecular Research, Inc., and Taconic Biotechnology, Inc. The leases for these companies are provided at competitive rates and help the University at Albany Foundation finance the costs of maintaining the facility.

3. The Albany-Troy-Schenectady region was strong in trade and commerce when the nation depended on waterways like the Hudson and Mohawk Rivers and the Erie Canal, and later on the railroad systems which paralleled those waterways. Manufacturing and trade was strong in the region in the eighteenth and nineteenth centuries, but slowly fell away during the twentieth century. Because the times of greatest relative prosperity are many generations in the past, the region is not blessed with an abundance of families whose personal fortunes were developed in the region's wealthier times, as is, for example, Cleveland or St. Louis or even Detroit. Thus, the number of major gift prospects to be developed regionally is limited, and past fund-raising efforts, which counted strongly on local individual and corporate support, were necessarily more limited in scope than those the University intends to launch in

2. Another important strategic consideration is that the idea of the University at Albany (a *public institution*) needing private support is still relatively novel to key constituencies. At major public universities whose fund-raising results the University at Albany aspires to emulate, generations of volunteer and university leadership have developed fertile fields for philanthropy. The concept of giving to the university has been well established in the necessary communities. At the University at Albany until relatively recently, the general assumption was that State funding provided for all the University's needs, and private philanthropy was better directed to needed causes in the community. The Advancement office has developed strategies to coordinate communications across the University and to concentrate on key messages, including the changing level of state funding for the University, specifically to address this issue.

1. It is notable in American higher education that public universities in the Northeast must operate in a philanthropic environment different from sister institutions in other areas of the country. Donors in this region are generally not accustomed to providing gifts in the number and size known to such public universities as UCLA, Wisconsin, North Carolina and Ohio State. Observers of the phenomenon suggest that the Northeast's public institutions were founded in an environment already populated by well-established and highly-regarded private colleges and universities, placing the new public institutions at a competitive and reputational disadvantage from their founding, a position from which they are yet completely to recover. Whatever the cause, this phenomenon is part of the set of environmental conditions within which the University at Albany must seek to achieve its aspirations, and it helps to shape the fund-raising, special events and communications strategies used to achieve its objectives.

The University's Fund-Raising Environment. There are a number of conditions of history and setting which impact the University's strategies for increasing philanthropic income, in keeping with Strategic Goal #6 of the University Strategic Plan.

This past year, with the arrival of a new Vice President for University Advancement, Mr. Robert Ashton, a thorough analysis of the organization of the Division was carried out and restructuring undertaken to (1) prepare for a major fund-raising campaign, and (2) address some of the underlying issues outlined below. (See Appendix 7.1)

• Promotion of the University's messages with the broader community

The Annual Fund grew from \$720,000 raised in 1989-90 to more than \$2-million in 1998-99. The University's endowment grew from \$1.2-million in 1989-90 to \$8.8-million in 1998-99.

Fund-Raising Progress over the Past Decade. As the University's state funding base decreased and the need to identify alternative resources became ever more pressing, this increased organizational stability and investment in fund-raising showed results. The share of the University's operating budget met by philanthropic income doubled, even as the operating budget itself grew. (Still, gift income provides only 2% of the operating budget. A reasonable goal over time is that gift income provide 8% of the operating budget.)

5. The University at Albany has not had regular and consistent fund-raising programs extending over many generations of friends and alumni. This creates a strategic deficit in experienced and committed volunteers and in carefully cultivated major prospects -- indeed, in direct knowledge of significant prospects who deserve cultivation. Professional fund raising staff have been employed by the University only over the last two or three decades. During that period, the fund-raising programs have generally been understaffed, have experienced significant turnover, and have had considerable programmatic change. Fund-raising success depends, among other factors, on building and maintaining strong, life-long relationships with potential supporters. The University's frequently changing programs and personnel have inhibited its ability to find and develop those key relationships, although in recent years more stability has been achieved, along with greater philanthropic income. With a significant investment in building the University's fund-raising capacity there has been concomitant growth in fund-raising income. The University has made a substantial investment, creating new positions and making salaries more competitive in order to hire professional staff with significant fund-raising experience.

4. An additional concern for the University is that upstate New York has not yet recovered from the economic dislocations of the 1970's and 1980's. Although the Capital Region has a stronger economic profile than other upstate regions, it can still boast of only three manufacturing firms with annual sales of \$100 million or more. In light of the "new economy," the business and political leadership of the region has made a concerted effort to build more software and high technology businesses and the climate conducive to them. The University at Albany is a pivotal player in these efforts, and is especially visible in this role because President Hitchcock served (1999) as the President of the Albany-Colonie Chamber of Commerce. These regional efforts are bearing fruit, with some firms which were non-existent or tiny at the beginning of the decade now growing into industry leaders (Albany Molecular Research, MapInfo, InterMagnetics General), and an exponential growth in the number of software firms in the area has occurred. Nonetheless, these firms do not yet represent the kind of historic economic strength that provides deep philanthropic support in other regions of the country. This is another reason the University is implementing strategies to expand its fund-raising initiatives beyond regional boundaries.

the future. Fortunately for the University, half of its alumni body lives and works in the New York City area and takes part in that region's strong economy. Refocusing Advancement staff on the organization of school- and interest-based activities outside the Capital Region is designed, in part, to identify and cultivate potential major donors as quickly as possible.

Campaign Preparation. The University intends to undertake another major campaign, beginning within 12-18 months. Although the ultimate goals of the Campaign are still being developed, it is expected that the total goal will surpass \$100-million. Major outcomes of this initiative will be: an increased endowment for the University's primary missions of education and research, as well as targeted resources for such identified strategic needs as increasing

Future Directions

Restructuring of the fund-raising and outreach efforts of the University in the past year have been aimed at establishing a broader infrastructure and wider engagement of the University's academic leadership in building relationships with potential major donors, so that there is less dependence on fund-raising staff, more continuity in the relationship-building effort, and greater support for academic leadership as they work at this process.

At the University at Albany, major individual gifts comprised 16% of 1998-99 gift income, and only 14% of the \$55-million campaign. In its 155-year history, the University has received only three individual gifts of \$1 million dollars (or larger), and all were received within the last five years. Although these relatively recent large gifts are encouraging, they don't yet establish a confirmed trend toward the truly substantial gifts necessary to a fully realized development program.

Focusing on Major Individual Gifts. Seven- and eight-figure gifts are the necessary cornerstone of large (nine-figure) campaigns at colleges and universities around the country. Typically, major gifts (as defined by the individual institution) provide 80% - 90% of the annual philanthropic income of mature development programs, and 95% of the amount raised in campaigns. Depending on the nature of the institution and its natural constituencies, the major gifts reported by most universities and colleges predominantly come from individuals, either directly or through foundations or corporations that the individuals influence. Indeed, nationwide, 90% of gifts of 7-figures and higher come from individuals.

During the 1990's, the University launched and successfully concluded the largest fund-raising campaign in the history of the entire SUNY system, a \$55-million campaign which ran from 1991 to 1996 and raised a total of \$55,318,000. The Sterling-Winthrop acquisition was part of this campaign, as was a special campaign to build the Center for Environmental Science and Technology Management (CESTM). Closing out the 1990's, a special 18-month campaign was conducted to generate \$3.5-million to supplement State funds for the construction and outfitting of a new library. With the help of a \$500,000 Kresge Foundation Challenge grant, the University closed out the last days of the decade with \$3.8-million for the library effort.

The private 501c-3 related foundation that supports the University's fund-raising efforts, the Sterling-Winthrop pharmaceutical manufacturing and corporate headquarters site, now called the East Campus.

University at Albany Foundation, increased its assets from \$6.2-million in 1989-90 to \$23.7-million in 1998-99. (See Appendix 7.2.) These assets were boosted by fund-raising income, by prudent financial management and by acquisition of several major properties, notably the former

President's Club. Although technically a part of the Annual Fund, the President's Club offers such a special opportunity for the University that it requires special attention. With the development of alumni and Annual Fund programs in schools and colleges of the University, a focused initiative to develop new school-based President's Club chapters has also been launched.

- A. The University Advancement division has been reconfigured to provide support for strategic initiatives:
 1. A centralized Major Gifts team has been created through reassignment and new hiring.
 - a. Planned giving has been integrated with major individual giving.
 - b. A new stewardship office has been created.
 - c. A tightly managed prospect tracking and management system is being put in place.
 2. To build interest-based alumni and fund-raising programs as quickly as possible, the alumni and annual fund offices have been brought together under one Associate Vice President.
 - a. Staff are assigned to work with the Deans of Schools and Colleges to assist in building school-based alumni and President's Club (\$1,000+ Annual Fund program) groups.
 - b. Besides generating income for University divisions, the programs are designed to speed identification and cultivation of potential major prospects.
- B. The University has hired fund-raising counsel to assist in conducting a Needs Assessment process to identify and package gift opportunities, making the upcoming campaign congruent with the University's academic priorities.
 1. The Provost will provide the academic leadership for this process.
 2. Deans, department chairs, directors and others will participate.
 3. Counsel will also work with the Vice President for Advancement in preparing a draft Campaign plan.
- C. A formal assessment will be undertaken to determine the identified gift potential at this point in the University's history, to estimate unidentified potential, and to assess the needs which resonate best with potential Campaign donors.
 - D. A first draft of the case statement for the Campaign will be drafted, with involvement by the entire span of academic leadership of the University.

Successful campaigns are founded on an institution's fund raising strengths. To prepare for a successful Campaign, the University must build strength in major individual giving as quickly as possible. The anticipated Campaign will cover the entire academic span of the institution, and must therefore include in its planning the academic leadership of every unit, as those leaders will become involved with the execution of the Campaign. This is why it is vital to include these leaders in the Needs Assessment and case statement processes.

Several important steps are being taken during the 1999-2000 academic year to prepare for this effort:

graduate stipends, recruitment of highly qualified undergraduates, addressing faculty salary compression, and supplementing State funds for major construction under the Master Plan.

As chronicled in several chapters of this Self-Study, the State of New York and by extension SUNY, and in particular, the University at Albany, continued to face budgetary challenges throughout much of the 1990s. Fortunately, in the past two years, State revenues increased significantly and, consequently, State appropriations to the University have now

Conclusion

This set of Advancement strategies -- building major gifts strength as quickly as possible; generating new sources of income and prospects; coordinating and reinforcing key messages that advance the University's strategic goals; pro-actively seeking media coverage around those messages -- is designed to address the specific history and environment of the University. These strategies will not only fast-track campaign preparations, they will also establish a long-term, relationship-building program that will result in continuing increases in philanthropic income for the University's academic priorities.

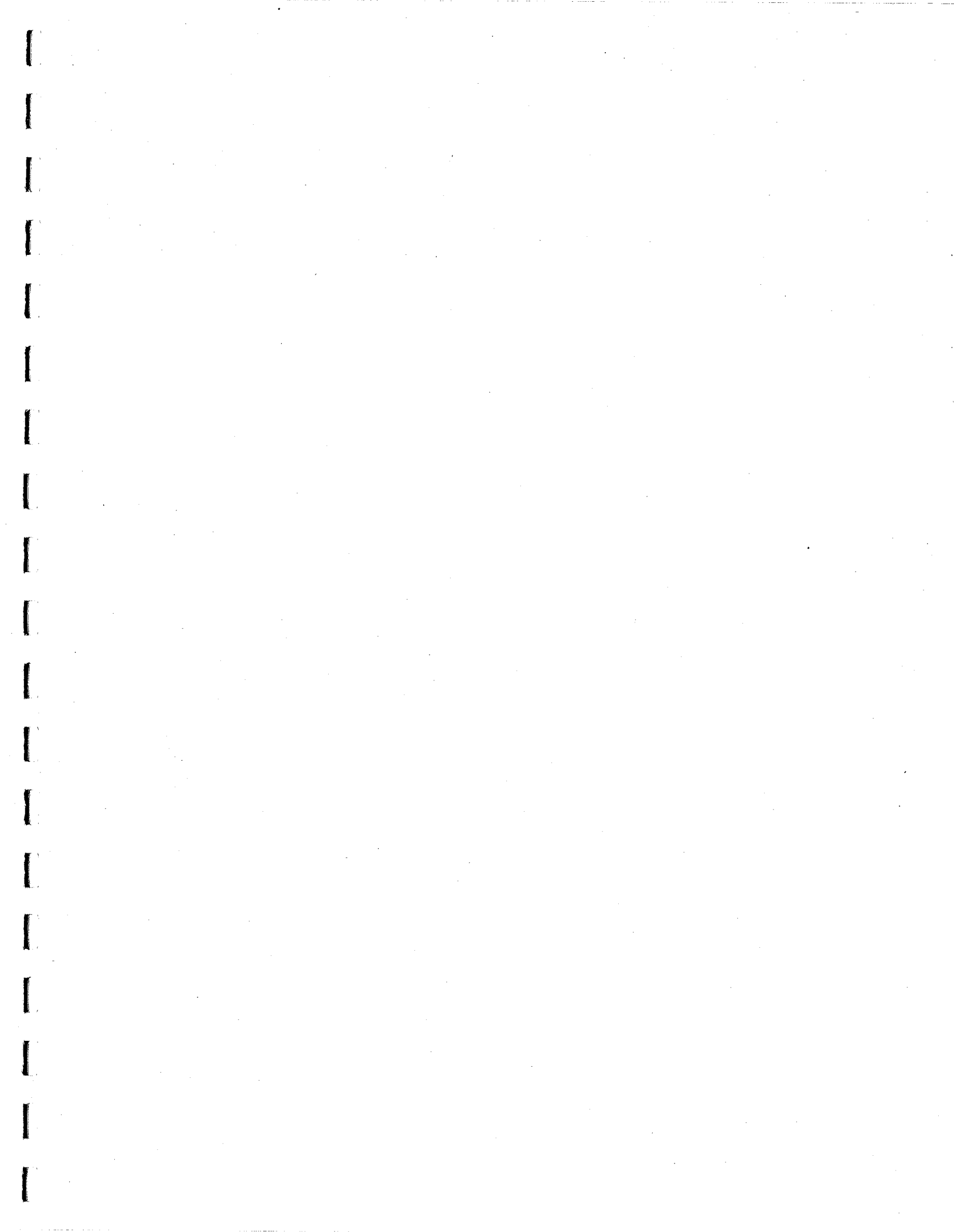
include these messages as often as appropriate. the communications of other departments and units are monitored and encouragement given to publications of the University Relations office are measured for inclusion of these messages, and committees of communicators recommends to the Executive Cabinet annually. All external messages about the University -- clearly and simply articulated -- which a campus-wide Overarching all communications programs is a University-wide system for identifying three key programs described above. (Copies of sample publications available in Document Room). their alumni. This initiative dovetails with the constituent-based alumni and Annual Fund purposes is the creation of additional regular newsletters from deans and departments to inform and parents as well as the internal community. Perhaps more important for fund-raising addition, the University's highly regarded biweekly newspaper, *Uprate*, is now sent to donors those who made gifts or paid alumni dues received the University's magazine, *Albany*. In the hands of all domestic alumni, parents and friends at least three times a year. In the past, only **Communications and Publications.** A new initiative puts a University publication in

emphasizes the University's key messages. gatekeepers, as well as creating strategically focused events on campus for coverage that editors. This marketing effort includes building one-on-one relationships with media aggressively and pro-actively market the University's key messages to targeted reporters and programs operate. A special unit has been created within the University Relations office to the backdrop against which fund raising, admissions, legislative relations and alumni relations **Media Relations.** Media relations is an important part of the advancement effort, setting

create a pool of cultivated and informed major gifts prospects. additional, this more intensive and focused engagement of President's Club donors will rapidly special attention on educating them about the needs and excellence of the unit they support. In of the President's Club chapters for each unit will be cultivated and stewarded as a group, with while a portion of the new gifts will be used to fund expanded advancement programs. Members department chairs and directors will generate new sources of discretionary income for their units, identification and recruitment of President's Club members for the units they serve. Deans, Development and Alumni Relations staff assigned to these programs are measured in part on the

increased by almost \$10 million, supplemented with special Executive and Legislative allocations and additional capital construction and renovation funding. This expanded fiscal attention from the State attests to the University's success in convincing the State's legislative and executive branches, and the local business and professional community, of the nationally recognized quality and value of the University as a truly positive and effective force in the region, state, and the nation. Additionally, both the State and the SUNY system devolved many aspects of their control over public universities. This most welcome and liberating "flexibility" (as so identified by the State) included allocation processes, Income Fund Reimbursable (IFR) accounts, dormitory debt service, and SUNY Research Foundation policies and procedures.

During this same decade, the University itself has become more focused, creative, and entrepreneurial in managing and expanding its total revenue stream, which has increased by nearly \$40-million in the past ten years despite a decrease of \$21.2-million in state funding over the same period. Improved resource/programmatic planning and budgetary policies and procedures, as well as major successes in research grants and institutionally organized fundraising, have largely made possible the University's exceptional program expansion and growing fiscal health. The introduction by SUNY of its new Budget Allocation Process (BAP) should bolster the campus' financial base as the BAP's enrollment-driven bias should benefit our over-enrolled campus and eliminate years of under-funding endured under the previous SUNY resource allocation system. And, finally, the University's accelerating ability to partner successfully with state and federal agencies, with major corporations, and with other research universities will permit it to continue its trajectory as a major public research University.



The Uptown Campus, constructed in the mid-1960s, consists of three parcels on the west side of the City of Albany: the large 391.65-acre parcel containing most of the facilities, the 72.6-acre parcel west of Fuller Road where Freedom Residential Quad and the Center for Environmental Sciences and Technology Management (CESTM) are located, and a 14.4-acre parcel north of the Washington Avenue Extension and west of Fuller Road. The campus centerpiece is the "Academic Podium," made up of 13 academic buildings on a common platform, all connected by a continuous roof and a lower-level corridor. The Uptown Campus

The University at Albany comprises three main campuses—the Uptown Campus, the Downtown Campus, and the East Campus—as well as a number of off-campus facilities. (See Document Room for detailed descriptions of all University facilities.) All University facilities and grounds are operated and maintained by the Office of Facilities Management. This department, which reports to the Vice President for Finance and Business, maintains, operates and cleans: all of the University's academic, administrative, and athletic facilities; residence halls; grounds; an extensive utility infrastructure, including a central heating plant and distribution system; a high voltage electrical distribution network; and a water supply, storage and distribution system. The Office of Facilities Management is also responsible for utilities management, capital construction, and major maintenance (asset protection) projects on all campuses.

Overview of Facilities

While an institution's physical facilities, equipment, and support services do not, in themselves, determine the caliber of the institution, they are central to the quality and productivity of its academic programs. Both the Uptown Campus, constructed in the 1960's, and the Downtown Campus, constructed in the early twentieth century, offer markedly different programs and curricula today than at their inception. The campuses have also seen substantial growth in programs and enrollment. These changes led to major space shortages and over-utilization. The rapidly accelerating research and technological needs of the last decade have put severe demands upon facilities that were designed for the needs of the early and mid-twentieth century. All the buildings on the Uptown Campus were built over 30 years ago and have received no major renovations or expansions since that time. Accordingly, development of a Master Plan and initiation of a major capital construction initiative was deemed by the President as essential to support the University's programs and overall objective of enhancing its stature as a major public research university. This chapter describes the facilities and academic infrastructure supporting the University's programs of education and research. Over the past decade, the institution has made major strides in providing high-quality and technologically suitable instructional, research, residential, and recreational space. It has also greatly improved and expanded related services in support of its mission (including Libraries and Computing).

Chapter VIII FACILITIES AND ACADEMIC INFRASTRUCTURE

- includes the College of Arts and Sciences, the School of Business and the School of Education. Five residence quadrangles are also located on the Uptown Campus: four quads surrounding the podium, each housing about 1,350 students, and Freedom Quad across Fuller Road housing about 400 students. Most undergraduate students attend classes on the Uptown Campus and freshmen and sophomores are required to live in University housing.
- The Downtown Campus is located approximately 3.5 miles east of the Uptown Campus and consists of two major sites: the Nelson A. Rockefeller College of Public Affairs and the Alumni Residential Quad. Rockefeller College is a collection of six interconnected, traditional-style buildings occupying a single city block parcel. It houses the Graduate School of Public Affairs and Policy, the School of Criminal Justice, the School of Information Science and Policy, the School of Social Welfare, and the Hawley Library. Alumni Quad, housing about 863 students, comprises five major structures arranged in a typical collegiate residential quadrangle. The East Campus is comprised of 10 buildings on 58 acres located 7 miles east of the Downtown Campus across the Hudson River at the site of the former Sterling Winthrop Research complex in East Greenbush. The facility's mixed-purpose buildings house the University's School of Public Health and provide an interactive, dynamic environment for uniting the University's educational, scientific and economic development capabilities with those of industry and other research institutions. In all, it constitutes approximately 18 different entities, including the School of Public Health, research laboratories, centralized research equipment, several biotech and pharmaceutical incubator companies and high-tech private companies, and laboratories of the New York State Department of Environmental Conservation.
- Other Sites. Other University at Albany sites include the following:
 - Center for Environmental Sciences and Technology Management (CESTM). This recently constructed (1997) 75,000 square feet, state-of-the-art research facility is located on approximately 6.4 acres of land on the Uptown Campus on the west side of Fuller Road. It houses the University's premier Center for Advanced Thin Film Technology, its internationally recognized Atmospheric Sciences Research Center, a Business Incubator Program, and the National Weather Service's Albany field office.
 - The "Blue Building" is a 4,000 square feet research laboratory building that houses the Metastable Materials Manufacturing Lab and is located near the Uptown Campus at 90 Fuller Road.
 - The Art Annex is an 11,545 square feet sculpture studio located at 21A Railroad Avenue, approximately 2 miles northwest of the Uptown Campus.
 - One Pinnacle Place has 1,458 square feet of office space, located near the Uptown Campus, and houses the Small Business Development Center.
 - 1535 Western Avenue, a 10,000 square feet office building, houses the Center for Stress and Anxiety Disorders and the Center for Technology in Government, and is located about a mile southwest of the Uptown Campus.
 - 423 State Street is a restored brownstone located 2 blocks from the Downtown Campus that houses various research activities, including the Center for Legislative Development.

It was understood at the beginning of the Master Planning process (see Chapter II for details) that the University had outgrown its physical facilities and that current facilities could

Master Plan

- Completion of renovation of the air handling system in Chemistry Building (1999).
- Completion of the 5-story, state-of-the-art Science Library (1999).
- Roof replacement at the Downtown Campus (1998).
- in the Chemistry Building (1998).
- Completion of renovations resulting in state-of-the-art research and teaching laboratories several residential facilities (1997 - 1999).
- Creation of a residence hall renovation plan and completion of major renovations of new entryway, creating a temporary new "front door" for the Uptown Campus (1997).
- Major renovation of the main lobby of the Administration Building and construction of a Environmental Sciences and Technology Management (CESTM) (1997).
- Construction of a state-of-the-art laboratory research building, the Center for Acquisition of the East Campus by the University at Albany Foundation (1996).
- access for all residential (1994) and academic (1997) buildings.
- Completion of a telecommunications system upgrade including cabling for internet (1994).
- Campus Center, and the construction of an addition, the Campus Center Extension (1992).
- Completion of renovation of the University's main student activities building, the Construction of the Recreation and Convocation Center for athletics and other events

these significant achievements include:
The 1990s represented a decade of growth as projects planned several years prior to the recent development of the University Master Plan finally came to completion. Highlights of

Recent Capital Projects

Campus Construction and Renovation and Master Planning

- Whittace Mountain is a field station and laboratory facility in the Adirondack Mountains that includes three facilities: the 8,460 square foot main research station; the 3,216 square foot annex - both operated by the Atmospheric Sciences Research Center; and a shared facility, the 1,772 square foot "silo" weather station, that was built by the SUNY Construction Fund in cooperation with the Olympic Regional Development Authority and partially funded by the Department of Environmental Conservation.
- Two properties adjacent to the Uptown Campus that will provide needed surge space for administrative offices: 1215 Western Avenue and 2 University Place.
- The recently purchased President's Residence, a late 19th Century, pink Potsdam sandstone of Victorian and Romanesque design, is located on Washington Park at 5 Englewood Place, one block from the Downtown Campus.

not support modern research and technology needs. Accordingly, the Master Plan was developed to assist the University in determining the type and quantity of facilities required to fulfill its mission over the next 10 years. Primary areas needing attention that were identified by the campus community during the Master Planning process included the quality, quantity, and technological suitability of classrooms and laboratories, and the overall need to provide additional space to support University growth and expansion. The initiatives documented by the Master Plan directly support the University's Mission and Strategic Plan. New and improved, technologically sophisticated facilities are critically needed to attract and retain the most qualified faculty and undergraduate and graduate students. Likewise, such facilities will support the University's efforts to improve upon already distinguished graduate and professional programs and to attract greater research support. The University has already begun to witness the overall positive impact of the Master Plan on the morale and effectiveness of the members of its Community, and thus, on its quality of life. These positive changes will also facilitate increased and stabilized enrollment.

Funding for major rehabilitation and repair, as well as new construction of all non-residence hall facilities, is administered through the State University Construction Fund (SUCF). Through the establishment of a clearly defined Master Plan, the University is able to take advantage of funding that is available through the SUCF for capital projects and improvements that would, otherwise, be unavailable to it. In 1998 the SUCF and SUNY negotiated a 5-Year Capital Plan. As part of that Plan, the University at Albany received \$130 million in capital funding, including \$120 million for the Master Plan implementation. These funds are not a part of the operating or capital reserve budget of the University at Albany but, rather, are resident in the SUCF budget. Approximately \$85 million of the Master Plan funding was directed to new buildings and expansion (e.g., Life Sciences, Fine Arts Sculpture Studio, Rehabilitation of Administration Building, University Police, etc.). The balance of \$35 million was directed toward maintenance and repair. These maintenance and repair projects include upgrading classrooms for technology (see below, Smart Classrooms), replacing PCB-contaminated transformers, replacing the campus fire alarm system, and upgrading the heating and cooling plant. A description of some of the major projects follows:

Life Sciences Research Building. Major goals of the University at Albany include enhancing its research mission, increasing private fund raising, and expanding in a significant way its federal research funding. Its success in accomplishing these goals will depend to a large extent upon the campus' research programs in, for example, the life sciences. However, developing the campus' life sciences programs is currently limited by the physical facilities which are in need of extensive renovation and lack sufficient space to allow the recruitment of additional faculty in this important area. Indeed, current science facilities were designed originally to accommodate teaching rather than research. Besides the need for up-to-date research laboratories, the campus lacks core equipment and laboratory facilities such as those required to sequence DNA, synthesize oligonucleotides, etc.

The need for such modern research space in the life sciences is now being addressed as the campus plans for the construction of a new \$67 million, 194,000 gross square feet Life Sciences Research Facility. The planning has passed the design manual stage, bid documents are

Building 28 (Current Administration Building). This building will be completely renovated to address the critical need for additional technologically sophisticated instructional space, faculty laboratories and support spaces. Such renovation will provide 76,000 gross square feet of additional academic space and should be completed by spring 2002. The building's current occupants (University Administration and numerous support functions) will be relocated to two locations proximate to the Uptown Campus, one leased and the other purchased (1215 Western Avenue and 2 University Place). The renovated Building 28 will house the Departments of Anthropology, Geography and Planning, and Sociology. It will also house the Office of the Dean of the College of Arts and Sciences. The project's budget, based

Entry/Administration Building. This will be a signature building designed to serve as the major point of entry to the Uptown Campus. It will provide a conveniently located site for Admissions and other similar uses requiring extensive public contact. The functions envisioned for this building serve a number of critical University needs. First, it will serve as a visitor's center, particularly for prospective students and their families, as well as alumni and community guests. Second, it will house the Administrative Offices of the President and Vice Presidents in a location convenient to both internal and external constituencies. The building is projected to be approximately 50,000 gross square feet and scheduled for construction in years 4 and 5 of the Master Plan. The proposed building site is on the north, main entry axis to the Podium.

New Public Safety Building. This building is required to replace the current outmoded, under-sized facility which is scheduled for demolition to make way for roadway and landscape improvements. Construction is well underway, with an estimated construction completion date of May 2000. The site of this approximately 10,000 gross square foot building is the east end of the existing Indian Quad Parking lot. The total building budget is \$2.3 million.

Fine Arts Sculpture Studio. A Fine Arts Sculpture Facility, being planned for construction on the Uptown Campus has already moved from the design stage to the construction phase. Occupancy of the approximately 19,900 gross square feet, \$4.52 million building is scheduled for the winter of 2001. This project has provided us with the opportunity to design and build studios, classrooms, multi-purpose shops and exhibition areas that are task-specific and state-of-the-art in safety, efficiency and appropriate adjacency. It will include faculty studio/offices; graduate studios; a group studio for sculpture majors; a media room for new technologies, video and digital imaging; and a 3-dimensional design classroom. The building will provide a safe environment for undergraduate instruction, graduate study and faculty research and is viewed as the first phase of a program that includes the eventual consolidation of the Art Department to a single campus location. This will help attract the highest quality graduate students in the country to study at the University at Albany.

in preparation, and the start of construction is projected for fall 2000. Occupancy is scheduled for late summer 2003. This facility will provide laboratory and support space for a total of 39 research groups from the departments of Biological Sciences, Chemistry, and Psychology, a grouping which will greatly facilitate interdisciplinary collaboration. This new Life Sciences Research facility will facilitate recruitment (and retention) of nationally regarded scientists who will greatly enhance the University's research profile in the area of the life sciences.

Currently, the University's residential facilities provide 6,288 beds. However, the substantial enrollment growth projected for the University over the next ten years will increase the total need for beds by at least 1,000 - 1,200, assuming current housing policies and residential occupancy rates remain unchanged. The Residential Bed Needs Committee, comprised of finance, facilities, and residential life administrative staff, is currently analyzing a variety of options for meeting this need (e.g., rehabilitation of Alumni Quad, reclamation of residence hall space now used for other purposes, new construction, etc.). Campus locations for potential new construction are also being analyzed. Since the State University Construction Fund does not provide the capital for residential construction or maintenance, all costs for rehabilitation and construction performed on residential facilities must be paid for out of the

Residential Facilities

- Upgrade exhaust system -- Chemistry Building, Phase I (1998)
- Replace ceiling/emergency lighting (1998, 1999)
- Replace podium steps (1999)
- Replace aluminum electrical feeders -- Library (1999)
- Campus CW & HTHW Systems Study (1999)
- Replace PCB transformers (1999, 2000)
- Rehabilitate fire alarm system (1999, 2000)
- Provide emergency primary voltage feeder and duct bank (2000)
- Replace roofing on the Uptown Campus (2000, 2001, 2002)

Campus include:
University Construction Fund has already funded and scheduled for construction on the Uptown
Other Master Plan Projects in Design. Other Master Plan projects that the State

The programming necessary to initiate the formal engineering and design work for this \$6.0 million component of the Capital Plan is underway. Other Downtown Campus projects in the Master Plan include a \$1.6 million project to provide air conditioning in Milne Hall; \$1.4 million to improve problem drainage; and various technology upgrades and rehab projects for current instructional space.

Husted Hall Renovation. Most of the buildings on the Downtown Campus are in need of major improvements. Further, programs unrelated to the Rockefeller College now occupy approximately two-thirds of Husted Hall, thus impeding the growth of the College and interfering with proper academic functional adjacent spaces. While its floor plan is organized well for certain instructional uses, there are few classroom-sized academic spaces. This lack of adequate classroom space is a serious concern. Husted Hall requires major renovation to reconfigure the building to meet modern academic program requirements.

on available SUCCF funds, space needs identified in the Master Plan, standard projected equipment costs, and contingencies, is estimated at \$9.5 million.

Clearly, facilities and physical infrastructure of any university are critical to rigorous instruction and productive research. Equally important is the provision of intellectual resources and state-of-the-art technologies; they form the foundation of our academic mission. The University Libraries and Computing Infrastructure at the University at Albany have, over the last decade, evolved in a manner commensurate with our growth as a major research university. Indeed, they, in large part, enabled this growth.

ACADEMIC INFRASTRUCTURE

A parallel effort will analyze additional space needs based on the campus' detailed program plans for the future. The University's current space inventory, program goals, strategic plan, and enrollment targets will be analyzed toward the end of establishing a comprehensive list of program-related building and rehabilitation needs. In consultation with the faculty, the identified construction and rehabilitation needs will be prioritized by the campus in a manner similar to that utilized in the creation of the Master Plan. The final inventory of campus needs will form the basis of future funding requests. The first step, selecting the consultant firm, is underway and should be finalized within two months. The total process is scheduled for completion by early 2001. This will provide adequate time for SUNY system-wide funding decisions; the currently funded five-year capital plan ends in March of 2003.

Throughout the upcoming year, the State University Construction Fund, in conjunction with an outside consulting firm and the campus, will assess the condition of the campus' infrastructure. Campus electrical, plumbing, heating, cooling, technology, and fire/safety systems will be reviewed for code compliance, general condition, and life-cycle maintenance requirements. In addition, structural elements of the campus, including roofing, decking, windows, etc., will be evaluated. This comprehensive study which will provide a more in-depth, focused conditions assessment of the campus facilities than provided for in the initial Master Planning process, will document needs for future maintenance and rehabilitation projects on our campus.

Continued Master Planning

room rental income the campus receives. Indeed, the University is now considering alternatives for constructing privately-financed dormitories.

University Libraries

Albany's University Libraries operate within the context of a nationally ranked research university gaining visibility for the strength of its undergraduate program and the excellence of many of its graduate programs, its faculty and their research accomplishments. The Libraries are an essential and integral part of the educational and research programs of the University and participate actively in its service mission. The Libraries manage an increasingly complex technological and information-rich environment and are responsive to the needs of diverse populations. The Libraries carry out their mission to develop, organize, preserve, interpret, and educate in the effective use of research collections in all formats appropriate to the University's academic and research programs within the context of a fully networked University. In collaboration with others, the Libraries provide an array of services, collections, and access tools needed to support research, teaching and learning, including distributed access to a vast body of electronic resources available via the campus network and World Wide Web.

Albany's Libraries are among the top 100 research libraries in the nation and are currently housed in three facilities on two campuses. They form a unified library system with a common mission and set of goals as laid out in the *Libraries Strategic Plan 1999-2004*. The University Library and the "New" (Science) Library on the Uptown Campus and the Governor Thomas E. Dewey Graduate Library for Public Affairs on the Rockefeller College Campus contain more than 1.9 million volumes, subscribe to more than 16,000 serials, and provide access to nearly 2.7 million microform items. The Science Library, opened in September 1999, is the first new academic building to be built on the Uptown Campus in its 33-year history. This new library building houses the Libraries' science and technology collections, the M. E. Grenander Department of Special Collections and Archives, and the Preservation Office. This library adds 142,430 net square feet of space to Albany's Libraries. It provides seats for 500 users and much needed expansion space for the growth of library collections. Now that the new building is occupied, the space retrieved from the removal of collections and services permits the decompression of the University Library, the addition of 350 new user seats, and the redesign of services to fully integrate electronic services and increase productivity.

The University Library, an 180,912 net square feet building originally designed to hold approximately 800,000 volumes on open stacks, had grown to a collection containing nearly 1.8 million volumes in open stacks and closed storage. It is a centrally located, high-demand facility which serves undergraduates, graduate students and faculty from all three campuses with interests in the humanities, fine and performing arts, social sciences, sciences, business and education, and provides seating for approximately 1,385 users, or 12% of Albany's FTE students. The library comprises the standard departments and services of a large research library, i.e., circulation, reference, interlibrary loan, media, periodicals, reserves, collection development, library systems, technical services (acquisitions, cataloging, catalog maintenance). Of the Library's 140 staff members, 107 work in the University Library. Library operational processes and many user services are fully automated. Users may access the online catalog, many library services, and a comprehensive array of information resources via the university network and the Internet. (See Appendix 8.1 for relevant library statistics.)

The Science Library, located on three levels of the new building, houses the science, mathematics and technology collections moved from the current University Library. There are data connections throughout the building, and the extensive multi-media and networked electronic resources are provided. Users of the new Science Library will have access to more than 40 networked workstations, a full array of databases, multimedia and electronic resources of every kind, and electronic classrooms with the latest instructional technologies. There are 23

The building of the Science Library, which adds an additional 64,124 net square feet to the University Libraries, is the most obvious and dramatic change to library facilities in the past decade. This building had been planned and developed in response to the serious need for library expansion space identified by the University's Faculty Senate in a 1985 report. It also represents the decentralization of the University Library since there was no possibility of expanding library services in contiguous space. Construction of the new building began in August 1996 and was completed in July 1999. Connected to the new building are two underground storage wings, each approximately 22,000 square feet. When filled with compact shelving, they will provide space for 1.8 million volumes in closed compact storage. In August 1999, the Libraries moved approximately 500,000 books and journals into the new building, as well as all rare books, manuscript and archival collections. Additionally, all Dewey Library collections currently in storage on the Rockefeller College campus will be moved to the new library storage facility.

The Dewey Library is, however, extremely crowded and accessible to person with disabilities in only a limited way. Its circulating collection is in compact shelving and in closed storage. There is very little duplication of materials between libraries. However, a twice-daily delivery service between the two campus libraries assures users at either campus ready access to all library materials.

In the past decade the Libraries have made significant investments in enhancing the Dewey Graduate Library. Facilities enhancements have included the installation of compact shelving in the lower floor, new carpet and new furniture throughout the building, two new service desks, air-conditioning, and the development of an electronic classroom.

The Governor Thomas E. Dewey Graduate Library is located in Hawley Hall on the Rockefeller College campus. Hawley Hall opened in 1909 as an auditorium and gymnasium for the New York State Normal School, our predecessor institution. In 1933 it was converted to serve as a library for the growing New York State College for Teachers, which later developed into the University at Albany. The Dewey Graduate Library occupies this 12,010 net square feet building and provides seats for 145 users, or approximately 9% of the FTE students of Rockefeller College. Ten library staff members provide public services and collection development for Rockefeller College. Its collections consist of 125,000 volumes in the fields of public affairs and policy, public administration, political science, social welfare, law, criminal justice, and information and library science. These serve the needs of graduate students and faculty of the Rockefeller College campus. The Dewey Library provides the same full array of electronic resources and public services available on the Uptown Campus via the university network and the Internet.

- library staff who work in the new library building, 9 of whom transferred from the University Library to the new building and 14 of which are new positions.
 - The M.E. Grenander Department of Special Collections and Archives is housed in 15,000 net square feet of space on the 3rd Level of the building, allowing the University Libraries to bring together collections, staff and user space, exhibit space, and collection processing space in one location for the first time. The Garden Level of the building will house the Center for Excellence in Teaching and Learning as a curriculum development area for faculty and a high-tech area for students, providing computing, networking and instructional technology facilities for individual and group instruction.
- When fully funded, the Preservation and Digital Imaging Laboratory on the 3rd Level will make available electronically archival and special collections materials, reserve materials and items from the general circulating collection. It will develop an online image database, while protecting the valuable original items and making important research materials readily available.

The Libraries are vital and high-demand centers for research, information seeking, browsing, and group socializing for undergraduate and graduate students. During the 1997-98 academic year, the Libraries registered 345,075 circulations from the general collections. Periodicals, which do not circulate, were used more than 434,502 times during the year. Interlibrary loan staff borrowed 14,612 items for Albany's students and faculty and lent 12,942 items from our collections to other libraries. Library faculty responded to nearly 200,000 requests for reference and information assistance and taught 590 information management classes to 7,268 students. Users accessed electronic databases 121,345 times and the Libraries Web page more than 100,000 times.

The Libraries, working in close partnership with Academic Computing and Data Communications, offer a rich assortment of electronic access and computing resources to the University. These include:

- an extensive and award-winning library web site on the campus server which offers
 - a gateway to over 46 subscription databases and 220 electronic journals
 - extensive selected resources organized into many topical areas of interest
 - research-level resources selected by subject bibliographers

the Geac ADVANCE library management system (compliant with the Z39.50 standard) which includes:

- an online web-based public access catalog (OPAC)
- online access to user information, ability to renew checked out items remotely
- a gateway to 45 research databases
- circulation and Reserve services, including a 3M SelfCheck station
- user records, fines, and billing
- cataloging and authority control
- acquisition (ordering) of library materials, and serials check-in

Albany's Libraries were among the first to network CD-ROM databases in the late 1980s. Now research databases are available online both in the Libraries and remotely. Cost, user

will be retained for current users who do not yet own Web-capable PCs). the ADVANCE system where character-based access to the current subset of research databases Libraries. These web-based menus will be used for remote access as well (everywhere, except in which will replace at least four distinct sets of complex menus at public stations within the example, to simplify access, the Libraries are adopting a single integrated set of web pages, existing resources to web-accessible versions and adding new resources whenever possible. For Planning is underway to take full advantage of web technology and developments by converting The Web has become the de facto electronic gateway to the Libraries' resources.

Since 1990, the Libraries have become fully networked, migrating from early PCs with modems and an assortment of incompatible wiring networks to a single, high-speed Ethernet network based upon Internet standards. All public and staff PCs are now connected to the network. Due to a campus-wide network upgrade in 1995-1998, current Ethernet wiring is guaranteed by the commercial installer to support the Libraries' anticipated bandwidth needs well into the future, from the current 10 Mbps up to 350 Mbps.

Technological Development. During the past decade Albany's Libraries have taken a leadership role in implementing automated technological support for operations and user services. They have pursued an aggressive policy of acquiring and providing electronic information, completed the conversion of the card catalog and other files to machine-readable format, worked closely with Academic Computing colleagues to develop the Library's new integrated management system, completed the networking of the Libraries, acquired and operated our own library servers for locally mounted databases, developed a presence on the Web, which provides Internet access to library databases and services, increased the number of public and staff workstations and renewed them on a 3-4 year cycle, and expanded programs of instruction, especially instruction in the use of electronic resources for staff and users.

- a proxy server to enable remote access to research databases for authorized users;
- local Unix servers providing rapid local network access to seventeen (17) popular Silver Platter databases linked with the Libraries' journal holdings;
- Eres electronic reserves, enabling University faculty to set up and control their own course's electronic reserve pages;
- 122 public PCs and 14 public OPAC terminals throughout the University and Dewey Libraries;
- an Interactive Media Center with 20 PC and Macintosh workstations for accessing a variety of multimedia and Internet resources;
- printing facilities for users, including:
 - high-speed dot matrix printing at most Internet and Electronic database PCs
 - laser printing using SUNYCard for University users
 - laser printing using Vencard for non-University users.

interface, and speed and reliability of access determine the methods of access that are chosen. For example, although Silver Platter databases are now available via the Internet, response continues to be unreliable particularly during peak times. For this reason, rapid access to seventeen Silver Platter databases is maintained through the Libraries' in-library Unix-based servers.

The Libraries are currently implementing two Citrix WinFrame application servers in order to make additional CD-ROM databases, as well as other library applications, accessible to users outside of the Libraries, both on-campus and off-campus. Through this "thin client" technology, users will only need to install the free Citrix "plug-in" for their web browser (e.g. Netscape or Internet Explorer). They will then be able to access all Citrix applications, presently installed or added in the future, through the Libraries' web pages. The Citrix servers will replace two Optinet CD-ROM servers, which have provided in-library network access to selected CD-ROM databases since 1989. The Proxy Server will continue to authenticate off-campus University at Albany users.

Increased Services to the Campus. Since 1997, the Provost and the Vice President for Student Affairs have provided the Libraries with additional funding to increase hours of service from 96 to 109 hours each week of the semester and provide students with additional late night hours. A new web-based electronic reserve system was introduced in spring, 1998 for faculty who want this alternative and is receiving increasing use. Library Bibliographers continue to expand the number of discipline-specific Web pages on the Libraries' Home Page to guide students and faculty to key print, electronic and Web resources. In addition, Web forms have been developed to allow users to conduct routine library business such as circulation holds and recalls, interlibrary loan requests, new book orders, and instruction class signups from home or office via the Web. Implementation of a user-authentication proxy server by Academic Computing in 1998 facilitated remote access to library databases and full-text services. During the 1998-99 academic year, the Libraries expanded in-library printing options for users.

Albany's librarians have long been involved in offering high-quality instruction in information literacy, critical thinking, and information management skills. Trudi Jacobson, Coordinator of User Education Programs, is a nationally recognized leader in library instruction and she leads a group of talented librarians and professionals. A wide variety of classes on the effective use of technology, research strategies and bibliography is offered each semester. Most of these classes are taught by librarians in the University Library's fully networked electronic classroom and two library teaching laboratories.

In the past decade, the Libraries' instruction programs have grown considerably in content, variety of topics covered, and number of students served due to the increased emphasis on technology and electronic resources and the need to teach students how to search, access, evaluate, and think critically about resources in multiple databases and on the Web. For example, during the 1997-98 academic year, library faculty taught 590 classes to 7,268 students. This represents an increase of 63% more classes taught to 79% more students from the level of instruction the Libraries offered in the 1990-91 academic. This growth has occurred at both the lower division undergraduate level and at the upper division. Classes for course-related

Planning and Resource Development. Albany's Libraries are self-reflective organizations that have relied on broad participation in strategic planning and annual reviews of goals and objectives to guide decisions and investments during a decade of rapid and turbulent

Electronic products assist the Libraries in many ways to respond to journal price escalation; increasing numbers of journals are becoming available online in full text. To date, 6% is the highest proportion of the budget spent on electronic resources; a decade ago the Libraries were just beginning to purchase CD-ROM products and, combined with mediated online searching, "electronic" costs absorbed less than 1% of the budget; it is expected that this proportion will increase in the next few years to 10% and perhaps more as the number and variety of useful electronic products grows. Amazing change has occurred in a decade which began with buying a dozen or so CD-ROMs that could be used only in the library and will end with transfer of library investments in nearly seventy indexing and reference tools to Windows-based CDs on the library's Citrix server and on the World Wide Web, all accessible anywhere from any validated user's PC.

One difficulty for bibliographers has been to maintain a balance in the collections between books and journals for, although the number of new journal titles increases and electronic resources proliferate at a maddening rate, books still serve as critical resources for scholars and students in many disciplines. Teaching trends increasingly include video presentations, so that, for example, while the Libraries had only Shakespeare's BBC plays in that format as the 1980s ended, now more than a thousand videos a year are added to the collections. Albany's average journal subscription cost in 1990 was \$176, while in 1999 the average is \$297 - a substantial increase of 69%. In 1990, the Libraries subscribed to 6,032 journals and this year there are 5,276, a 12% reduction. Journal holdings have been carefully pruned to preserve this balance, using the results of a 1991-92 journal use study to target low-use titles, purchasing new subscriptions by cutting additional little-used journals, and purchasing inexpensive journals when it appears most cost-effective to do so. In an effort to protect science and business/economics titles. In 2000-01, a new journal use study will be initiated to further evaluate investments in journal holdings.

Over the past decade, the Library's acquisitions budget has increased by 26% and has been carefully managed to obtain maximum value during a period of significant price escalation. Approximately 20% of the current budget is spent for monographs, exactly as in 1989-90; another 23% for non-periodical serials, down 6% from a decade ago; and 44% for journal subscriptions, up from 39% ten years ago. In addition, 6% is spent on electronic resources and 7% is spent on access to other libraries' collections via interlibrary loan, cataloging utilities, and memberships in organizations such as the Association of Research Libraries, the Research Libraries Group, and the Center for Research Libraries; this latter proportion has decreased from 10% over the decade without reducing the benefits of these affiliations.

Instruction, which most students and librarians judge to be the most effective, increased by 47% and reached 40% more students in the same period.

The 1989-90 Strategic Plan formed the basis for organizational and technological change. The 1989-90 Strategic Plan formed the basis for organizational and technological change. At mid-decade the Libraries assessed progress that had been made and made necessary adjustments. In early 1999, the Digital Library Steering Committee completed the Libraries' new strategic plan in the context of the University's strategic plan. This plan will guide library development and investment strategy for the next several years. This plan will be supplemented by a plan that focuses on the technological development of Albany's digital library in the context of computing operations at the University and the development of the SUNYConnect project for all SUNY libraries. Careful planning has also been crucial to the Libraries' success in budget development and resource investment strategy during a decade of disinvestment in higher education by New York State.

In spite of steady-state base funding for most library operations in the past decade, the Libraries have had sufficient financial support and flexibility to make important strategic investments, especially in technological development. SUNY has provided modest annual inflationary increases in the acquisitions budget and, although not adequate to keep up with the rising prices of journal subscriptions, they have enabled Albany's libraries to target journal reductions to high cost/low use journals in specific disciplines rather than cutting journals across-the-board as was necessary in the 1980s. The University has also recognized the importance of supporting the Libraries, providing \$4.2 million over the past decade in additional funds to accomplish specific projects and purchase equipment. Most recently the University has provided \$663,000 to the Libraries' base budget to support the personnel and operations of the new library building.

The past decade has seen a dramatic decrease in state funding of the University at Albany and a concomitant increase in efforts to raise private funds to support programs and priorities. The University Libraries played an important role in the University's first capital campaign, and were the center of a special Campaign for the Libraries to raise \$3.5 million in order to complete the furnishing and equipping of the new building and the renovation of the University Library. As of the writing of this Self-Study, the University has reached its campaign goal and will soon be awarded a \$500,000 Kresge Foundation challenge grant. Additionally, in the past decade the Libraries have established eleven endowed funds created by private giving to support collection development (5), the preservation of the Hawley Building (1), the development of library technology (1), student awards and scholarships (3), and the furnishing of a meeting room (1). In the same period, Alumni and Friends contributed nearly \$650,000 to the Libraries through the University's Annual Fund drive; alumni classes contributed approximately \$95,000 for designated purposes; and the Libraries received more than \$1.2 million in grants, gifts and donor bequests.

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Library usage statistics indicate that the Libraries' computing resources support the University's research and teaching well. However, the Libraries have experienced a decline in OPAC usage for the past two years, confirming the impression that users prefer to use the Web and electronic resources for their information needs. A graphical, Web-based OPAC in combination with other Web tools will make it possible to bring together print and electronic materials for our users in new ways, and without as much restriction as to format or location.

The University Libraries offer an award-winning Internet web site (www.albany.edu/library/), which provides information about library collections and publications, as well as integrated and interactive access to an extensive array of electronic resources and services. A substantial number of citation and full-text databases are available both in the Libraries and through the campus network and the Internet. Selected library services are available online for the convenience of student and faculty users.

The development of the Libraries' technical system and resources is seen as a particular strength. A strong, stable and service-oriented systems staff is also one of the Libraries' strengths and has allowed the Libraries to be innovative and forward-looking even during periods of limited resources. We have been fortunate to increase the systems staff from 3 to 4 FTE in recent years. Additionally, library systems staff and the staff of Academic Computing work harmoniously and cooperatively to solve problems and implement new programs.

The Interactive Media Center is an innovative, and very popular learning environment featuring networked multi-media workstations, each equipped with computer, videodisc player, CD-ROM drive, VHS videocassette player, and video monitor. For use with this equipment, the Library provides a comprehensive collection of more than 3,000 videotapes, CDs, laser disks, and software. The talented staff of the Interactive Media Center and related services offer well-attended instruction sessions and work closely with students on a variety of levels, including internships.

Reference Services and User Education instruction are two library services that always receive praise from users of both libraries. Reference librarians interpret a complex information environment and strive to provide personal assistance in a high-demand setting. Moreover, librarians have taken a leadership role at the University in providing an information-rich and technologically current environment with the support services necessary to assist students to become effective information managers. The growth and expansion of curricular offerings of the user education program has already been discussed. Albany's program is held in high regard by the faculty who regularly participate in course-related instruction, as well as by those who participate in Project Renaissance and other General Education programs. The Coordinator of the Libraries' User Education Program has been a member of the Project Renaissance Development Group from the beginning. The Libraries' curriculum has also been widely imitated throughout the SUNY System.

gathered in spring, 1998 from a series of focus group interviews with faculty, graduate students and undergraduates.

The development of the technology and information systems has allowed the Libraries' to provide key services for extended learning, including a commitment to providing equal access to library resources and services to distance learners regardless of location; flexibility in providing services and resources; and an increasingly distributed information environment that allows greater access to and delivery of information independent of time and place. For much of this decade, this commitment to service has entailed providing on-demand access for Ph.D. candidates who live at some distance from the campus. In 1997, a Library task force on distance education developed a basic policy framework and a set of guidelines and recommendations for service delivery. Barbara Kemp, Assistant Director for the Dewey Graduate Library and a librarian with extensive experience of distance education services, accepted appointment as the Library's Coordinator of Distance Education. Her role is to ensure quality control and the provision of library services to every Albany student involved in extended learning. She and other colleagues work closely with faculty and administrators to see that students' needs for curriculum and research support are addressed at early stages of the planning process.

In 1998, support services for distance learners was strengthened by the creation of a new Library User Education position that includes responsibility for developing instructional materials and programs for extended learners. Also in 1998, the Library implemented a faculty-centered electronic reserve system that allows distributed access to materials created and/or mounted by faculty in support of their courses.

The Libraries subscribe to more than 16,100 journals and serials, and provide access to nearly 2.7 million microform items. The Libraries' collections are impressive, with particular strengths in the areas of psychology, education, biological sciences, criminal justice, business, anthropology, social welfare, and library and information science. The Libraries' online catalog, representing 98% of holdings, is available to scholars throughout the world. The M. E. Grenander Department of Special Collections and Archives is a repository for manuscripts, archives, rare books, and special collections of original research materials. Holdings include the German Intellectual Emigre Collection, the personal and professional papers of more than 80 writers and academic emigres from Nazi Germany who settled in the United States in the 1930s and 1940s; Rare Books; English language and other works dating from the 18th century; the Miriam Snow Mathes Historical Children's Literature Collection; and the University Archives.

In addition, the University Libraries are a selective depository for U.S. government publications.

The Libraries are members of the Research Libraries Group (RLG), the Center for Research Libraries (CRL), and the Association of Research Libraries (ARL). (See Appendix 8.1a-g.) In addition to local resources, the Libraries' membership in the Research Libraries Group provides Albany's faculty access to distinguished research collections in public and private institutions throughout the country. Membership in the Center for Research Libraries provides faculty and students with access to the Center's more than 3 million volume collection, much of it unique and historic. It also allows the Libraries to avoid the purchase of materials important to research, but not relevant to current curricular needs. Additionally, the Libraries participate in the Online Computer Library Center (OCLC, Inc.), the Capital District Library Council, and the Empire Express interlibrary loan consortium (the SUNY University Center Libraries of Albany, Binghamton, Buffalo, Stony Brook, and Syracuse University).

The University Library needs new carpet, a signage system, a new electronic classroom and funding to complete its renovation plan in the next two years. The Dewey Library has a

Challenges Facing the University Libraries. The Library's acquisition budget has increased every year but, as is the case in every research library in the nation, the budget cannot keep pace with the price increases of scholarly journals, especially those in science and technology. The impact of this price inflation on collection development, as noted above, is that we are spending a larger percentage of our total resources on fewer journals, buying fewer monographs than we did a decade ago, and making far too few investments in new scholarly journals. This economic reality limits our ability to be responsive to the research and teaching interests of the many new faculty currently being hired at Albany. Investing in new areas of inquiry and new curricular offerings necessarily means resource reallocation, as well as relying on resource sharing and other cooperative agreements. It will be essential for the University Libraries' acquisitions budget to continue to be a top university priority to receive the annual increases requested in the SUNY system budget. Albany libraries must also take advantage of new opportunities for resource sharing through SUNYConnect and other SUNY initiatives as they become available.

In 1997-98, the most current year for which data are available, Albany's libraries overall rank is 102 of 111 academic research libraries. It ranks 104th in cataloged volumes in collection, 85th in current journals and serials received, 96th in volumes added, 103rd in number of staff, and 102nd in total operating expenditures. Looking at service trends in ARL libraries during the past eight years, Albany has experienced a far greater increase in library instruction classes (a 78% increase compared to the ARL average of 43%), a larger increase in interlibrary loan borrowing (61% compared to the ARL average of 58%), and decreases in circulation transactions in circulation and reference services. It is safe to assume that decreases in circulation transactions are attributable to longer loan periods now available for faculty and graduate students, which reduce the number of times a loan must be renewed. Decreases in reference transactions may be attributable to our change to sampling workload rather than recording individual transactions, as well as to the success of library instruction sessions and the use of electronic resources. By whatever measures we use, however, Albany's University Libraries remain productive and vital libraries, which contribute to the national research community, New York State and the SUNY system, and to the local regional community.

Albany's Libraries were admitted to membership in the Association of Research Libraries in 1975 following a period of rapid growth and expansion of the SUNY system and of Albany's library. At the time there were 88 ARL member libraries representing the largest and most distinguished academic and research libraries in the United States and Canada. Albany was at the time of its admittance to membership and remains today one of the smallest members of this group of major research libraries which has grown to 122 members in 1999. Nevertheless, Albany's libraries have held their relative position in ARL during the past two decades. In comparison to SUNY Buffalo and SUNY Stony Brook, both ARL members, Albany has improved its relative position in ARL during the past decade (going from 106th to 102nd) while Buffalo has gone from 44th to 55th and Stony Brook from 83rd to 109th.

desperate need for expansion space. Its collections are in compact shelving and in closed storage. It does not have enough space for users or space for expansion of technology-based services. Full access for persons with disabilities remains an important unresolved issue, as does improving the lighting in this turn-of-the-century building.

Progress in implementing a Web-based catalog has been slow because of a lack of commitment to the development of a quality product on the part of our vendor, GEAC. Continued delay will force us to consider system alternatives.

Although we have paid considerable attention and invested significant resources in the professional development of our librarians and staff, in this period of fundamental change in libraries we need more opportunities to renew staff and to develop new knowledge and skills in current staff. We also need opportunities to experiment with new technological developments.

Expected Changes in the Near Future. During the 1997-98 academic year, work began to redesign the Reference service desk and the electronic resources and Internet areas. The Interactive Media Center and Reserves service desks were combined and collections reorganized. The entire University Library was painted over the past two years and the entrance lobby was redesigned and re-carpeted. With the opening of the new library building, the expansion of library space will allow for the decompression and reorganization of the University Library collections and the redesign of services to fully integrate electronic services. We will create a long-needed Current Periodicals Reading Room, develop a second electronic classroom, provide a much-needed computer user room for students with 60 workstations, and increase user seating by approximately 350 study spaces. The renovation will also provide expansion space for the Technical Services Division and the Library Systems Department. Pending the availability of funding, all original-to-the-building carpet will be replaced. Renovation projects will be scheduled over the next two years.

Work on the physical space is, however, only part of the changes that are being made. As discussed earlier, the Libraries' goal is to integrate access to information systems and provide users with a common and easy-to-use gateway to a wealth of Web-based, vendor-based, and locally based resources. Much work will be done in the next two years to realize this goal completely. Additionally, the Libraries plan to offer improved support for Geographic Information Services in the 1999-2000 academic year.

In the coming year, the Libraries' plan to expand information and technology management instruction and incorporate it into the General Education Program through a partnership with Academic Computing, the Center for Excellence in Teaching and Learning and the Dean of Undergraduate Studies. Planning is underway to provide at least a pilot program by spring 2000 and to seek additional resources to expand instruction to all lower division students within three years.

The University is still in an early stage of developing extended learning programs, and demand is manageable with only a modest commitment of resources. The Libraries now have the infrastructure in place to respond to the new demands posed by extended learners and

The academic computing environment at the University at Albany is currently in a period of transition from a centralized mainframe oriented "Computing Center" to a distributed network of computing systems and support structures. Administrative was separated from academic computing when the "Computer Center" was dissolved in 1997 and was folded into University Business Systems under the direction of the Vice President for Finance and Business. Currently, centralized support for academic computing is provided by the newly created Academic Computing Center, the academic side of the old "Computer Center." The staff from this Academic Computing Center provides high-level support for "distributed computing organizations" which are located in the various Colleges, Schools, Departments, Centers and the University Libraries. These organizations, in turn, support Departments as well as individual faculty. In general these organizations support computing for both teaching and research. In addition, three Centers provide specific types of support for teaching and research. One of these, the Center for Social and Demographic Analysis (CSDA), provides support for population research, while the Center for Excellence in Teaching and Learning (CETL) and the Center for Electronic Language Learning and Research (CELLAR) explicitly support teaching. Beyond core central support provided by Academic Computing and the Library, three other areas provide

Academic Computing

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SUNYConnect will build on SUNY's magnitude of resources, wealth of expertise, and system structure and tradition. It will consolidate digital library services that are common to multiple campuses and use technology to better share library resources. SUNYConnect will serve as a World Wide Web gateway, a single point of entry for all students, faculty and staff. The goal is for SUNY libraries to have a common system that provides seamless access to all 18,000,000 volumes in SUNY libraries, including patron initiated circulation requests for items on other SUNY campuses and a SUNY-wide patron database. Other features would include: a document delivery system, online reference resources and services, online collections, and shared storage and preservation facilities.

- a combined user database for SUNY-wide authentication
 - ability to search all SUNY Library catalogs as one catalog
 - a comprehensive collection of full-text and image electronic journals and databases, regional storage and preservation facilities
 - direct circulation and fast delivery of documents and other library materials among campuses
- These include:
- SUNYConnect, a statewide initiative currently before the New York State legislature promises to provide SUNY-wide access to the library resources of the 64 SUNY campuses in a host of new ways.

distance education programs. However, the distributed nature of program development makes it difficult to know what is being planned or offered and to make sure that the Library is involved at the early stages of program development. This issue can be addressed through better communication, program coordination and publicity. As programs grow, we will need to assess their impact on current services and reallocate or increase resources as needed.

infrastructure for computing. These are "Telecommunications" which maintains the computer network for the campus; "University Business Systems" which primarily provides computer operations and software development and support for administrative computing needs, and manages the Computer Operations Center in partnership with Academic Computing; and "ResNet" which provides computer network services in the residence halls. ResNet provides both infrastructure and consulting for students in the residence halls. Network consulting for Departments and individual faculty are available from the "distributed computing organizations." (See Figure 8.1.)

A Decade of Transition. The academic computing environment at the University at Albany began to change substantially in 1989 when the "College of Social and Behavioral Sciences" created a distributed computing organization to support computing for the social sciences. The rationale for this shift was the transition by many faculty to desktop computing with the advent of powerful desktop systems and the deterioration of the mainframe computing environment at the University at Albany. As centralized mainframe services were perceived as lacking for specific research and teaching needs, other distributed computing organizations emerged. For example, the Department of Earth and Atmospheric Science and the Center for Social and Demographic Analysis' computing systems were developed to respond to the need for large-scale computing systems in certain areas of research in atmospheric sciences and population, respectively, while CETL and the CELLAR took over the need to support technology for teaching purposes. When the College of Arts and Sciences was formed in 1993, the College of Social and Behavioral Sciences computing group became CAS computing for the entire College. The other Colleges and Schools have responded to these trends by developing similar support structures as well. Appropriately, in October 1997, the new overarching support structure, the Academic Computing Center, was created. This group is intended to provide centralized support and expertise for the distributed computing support structures that have developed over the last ten years. In 1998, at the request of the Provost's Office, the Association

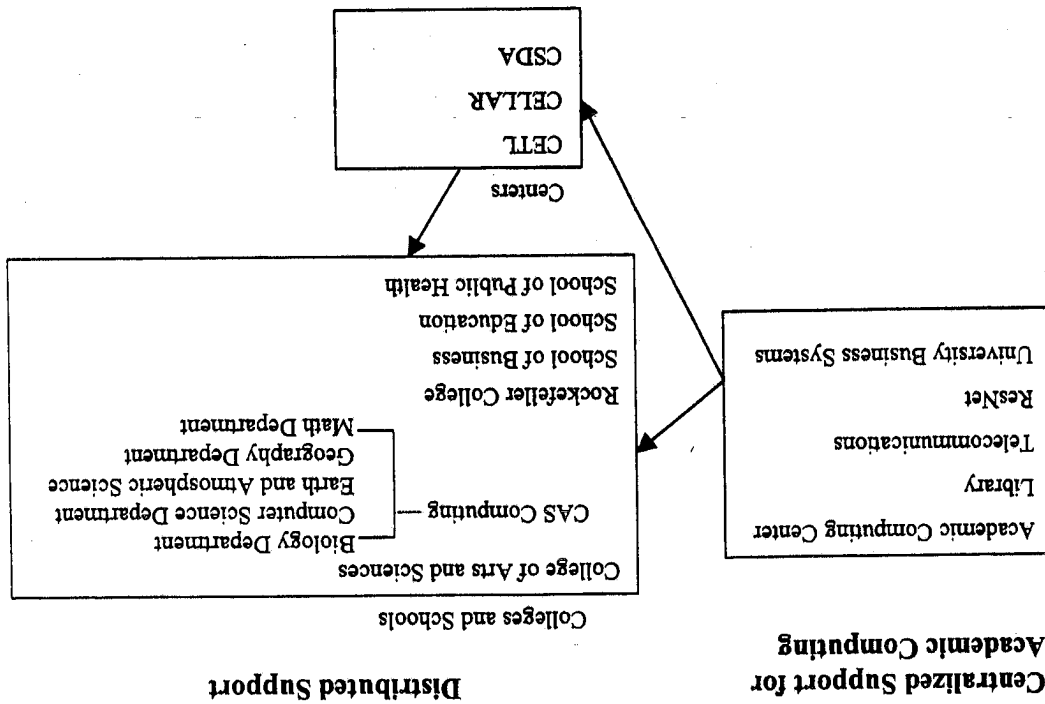


Figure 8.1
Academic Computing at the University at Albany

The Academic Computing Center. The Academic Computing Services Center serves students, faculty, and staff in many facets of their use of computing, networking, and audio-visual technology in learning and teaching. The Center does this by offering many core services that directly support a large number of constituents and by maintaining a collaborative and functional partnership with technological support groups in almost all areas of the University.

The transition from a centralized to a decentralized computing environment has presented many challenges. The economies of scale that often accompany a more centralized structure have not been readily available. Thus we find, across our various campuses, differences in hardware platforms, software, and support for site licenses. Likewise, some academic units such as CAS Computing, CESTM, and CSDA have succeeded in weathering the periodic upheavals as new technology is adopted, better than other, generally smaller, units. This is often the price that must be paid in an environment where distributed computing organizations craft solutions that are customized for their particular needs. Nonetheless, the restructuring of the Academic Computing Center in 1997 has provided us with an organizational setup to promote independent, entrepreneurial growth on a distributed basis while enabling us to take advantage of some economies of scale. Thus, the Academic Computing Center has become a second tier of technology support to its distributed components and exists to serve and promote the independent actions of the Academic Technology Coordinators and others in information systems and technology leadership positions across the University. The ATC Council now forwards its proposals through the Academic Computing Center and increasingly relies on the Center to promote its mission. Evidence of this successful relationship lies in the many proposals that have come from the Academic Computing Center but originated within the ATC Council.

Another advantage of our distributed institutional structure is that it has fostered a great deal of diversity and experimentation among our computing and information systems providers. Moreover, it has allowed us to determine optimum configurations best suited to our individual needs. Consequently, the University is no longer wedded to any particular hardware or software technology, and is able to draw upon a wide range of expertise.

The model of distributed computing that began in 1989 and culminated in the transition away from a centralized mainframe environment two years ago remains the dominant paradigm for computing on the academic side of information systems and technology at the University at Albany. Though the Academic Computing Center forms the hub and support of this system, the front line of computing support to the academic units remains the Academic Technology Coordinators (ATCs). As pointed out in the ACM SIGUCCS peer review report, this distributed model has given rise to exceptional sources of support to the academic computing community. In particular, the UNIX group of Academic Computing, CAS Computing, CESTM, the Library, CSDA, and others deserve mention as true pockets of excellence.

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of Computing Machinery Special Interest Group on University and College Computing Services (ACM SIGUCCS) conducted a peer review of the University's computing infrastructure. The Academic Computing Center has begun to implement many of suggestions that resulted from this review.

In addition to the core services listed above, the Academic Computing Center provides, in conjunction with technical support personnel outside the Center, many collaborative services including:

- Operating system, configuration, security management, application installation, and backup support for all Unix servers and workstations in the University Library, Center for Social and Demographic Analysis, the Department of Mathematics and the School of Business (similar services are also provided to individual faculty in many other departments);
- Maintenance of authentication services to provide off-campus access to specialized databases from the University Library and verification of eligibility for discounted services from the University's ISP partner;
- Support of the web server, application installation and system monitoring of course management software used by Project Renaissance and CETL;

Academic Computing also maintains and supports 230 public access computer platforms in three public user rooms, operates a Help Desk operation for consulting on all Academic Computing services, provides audio-visual services for academic units, and manages a computer hardware support service for all University-owned Macintosh and Intel-based platforms.

The Academic Computing Center operates a Compaq/Digital VMS cluster and a Sun Solaris Unix cluster on which it manages over 13,000 student, faculty and staff accounts. These clusters provide the following services:

- Electronic mail, Usenet News, and Electronic List management
- Computer applications and languages (SAS, SPSS, IMSL, BMDP, RATS, TSP, Maple, Minitab, High Performance Fortran, Fortran, C and C++ compilers, Lisp, specialized software such as MELTS, Gempak, Gaussian, TeX and LaTeX)
- Network printing
- University Web server
- Faculty and departmental web services
- Web-based University Calendar, Faculty Directory, and Student Directory
- Domain Name Server services for the University network.

In October 1997, the Academic Computing Services Center was constituted as a technology organization providing service to students and faculty at the University. The formation of the Center was, in a sense, the belated final part of the breakup of the larger Information Systems and Technology Center. Since then, the Center has taken major steps to transform itself into an organization that provides needed and timely services directed to University academic initiatives. It used input from an external review team and coordinators of distributed technology support groups in the University to revamp its structure and menu of services. By focusing its resources on needed services (increased and updated student access to computing, an easier approach to consulting services, increased use of web-based services), the Center is now positioned as an important component of the fabric of computing support to faculty and students at the University.

The Smart Classroom Project at the University at Albany was initiated in 1997 through the Office of the Provost and Vice President for Academic Affairs to provide faculty with facilities that would allow them to more easily and effectively use technology in the classroom. The funding for this initiative, \$3.5 million over five years, is part of the currently funded Master Plan. The goal of the Smart Classroom initiative is to bring selected classrooms across the University up to a common standard that allows for presentation of all types of commonly used media, including high resolution computer display and to integrate the equipment with a user-friendly media control system. These classrooms can then provide new opportunities for innovation in teaching and learning by facilitating the integration of computer, multimedia, and

Smart Classrooms

Nevertheless, the Academic Computing Center is currently planning to address the need to provide increased and improved access to students by upgrading over 800 public and departmental user room machines over a two year period, provide a software budget to support a consistent desktop on all public and departmental user room machines, increase the hours that departmental user rooms are available for student use, and maintain servers to allow students authenticated access to software used in course work from the residence halls (using the campus network) or from off-campus housing (using an ISP provider).

It is, of course, relatively easy to articulate a vision of technology – increased access, standards, common desktop, one point of login to all computing resources, universal access, and integrated multimedia support in all classrooms are appealing technology-focused buzz words. Given the rapid changes occurring in information systems and technology, however, it is much more difficult to chart the implementation steps to achieve this vision.

The Academic Computing Center has an eclectic and talented staff that is capable of delivering an array of needed services. In the past year, the Center has undergone a reorganization that has enabled the group to perform more flexibly, and enhanced its capability of delivering new services and responding more rapidly to changes in technology and user needs. Given the distributed technology support environment at the University, the Center's greatest asset is its strong service orientation. This is evidenced by the number of successful collaborative projects undertaken with technical support groups in CETL, RESNet, the University Libraries, the School of Business, and the College of Arts and Sciences.

- Maintenance of a software metering server to provide affordable access to specialized PC-based software used in the College of Arts and Sciences facilities and public user rooms;
- Consultation, advisory, and backup technical support for personnel in many distributed computing support groups in the University;
- IMAF and web-based mail service for students on the RESNet network; and
- First line of support and response (in collaboration with Data Communications) for all security breaches on networked machines used by students, faculty, and staff.

The greatest challenge facing administrative computing is migration to state-of-the-art functionality and customer service. Presently, most administrative computing employs mainframe-based legacy applications. Each of those applications is a separate and distinct system with its own database. Although updates are passed between systems on a periodic basis, it is extremely difficult to keep files synchronized. This is clearly recognized as a deficiency. It is also clear that the University must continue to provide students, faculty and staff the ability to access and, in some cases, update relevant information via the web. The legacy platform and the lack of integration are two of the factors that have prevented the University from moving forward to provide significant self-service applications for faculty, staff and students.

University Business Systems (UBS), a unit of the Division of Finance and Business, provides both computer operations and software development and support for the administrative computing needs of the University, including: Accounting, Advisement Services Center, Affirmative Action, Athletics, Financial Aid, General Studies and Summer Sessions, Graduate Admissions, Human Resources, Parking Management, Payroll, Registrar, Residential Life, Student Accounts, SUNYCard, Undergraduate Admissions, and University Advancement. The Computer Operations Center is managed in partnership with Academic Computing, ensuring that the needs of both groups are equitably met. This cooperative relationship is working well.

Administrative Computing

Smart classrooms encourage innovations in teaching and support new ways of learning. Faculty can easily enhance teaching with stimulating visual and audio components. They can present online information and research data in the classroom. SMART classrooms also allow faculty to access and/or display networked databases, such as Lexis-Nexis, the Internet, and Power Point presentations. Integrating technology into the teaching curriculum often requires more preparation, but faculty who have made this investment are enthusiastic about the results. Smart classrooms encourage faculty creativity.

At present, academic spaces that have been upgraded and renovated for 'Smart Classroom' use include Fine Arts 126, Earth Science 242, Lecture Center 25, and PAC 246. Satellite workstations have also been created for various fine arts departments. For the academic year 1999-2000, we anticipate renovation and construction that will give rise to the following new teaching/lab spaces by fall 2000: Lecture Center 14, Draper 246, the language and learning lab (CELLAR), a new public access room in the Main Library, and Social Science 118. The immediate concern of the Committee is to identify various different configurations of current spaces on campus that will serve as model teaching/learning classrooms and labs. In the longer term, we anticipate taking off-line a set number of classrooms for multimedia upgrade each year for purposes of renovation and upgrading.

Smart classrooms are equipped with ceiling projectors, sound systems, network technologies. Smart classrooms are equipped with ceiling projectors, sound systems, computers, VCRs, laserdisc players, slide projectors, and/or overhead visualizers.

The system also permits admissions offices to track detailed records of communication between the University and prospective applicants. Communication with them has, therefore, improved greatly as a result of the conversion to PeopleSoft. The new system has also allowed for improved consistency and thoroughness in recording key source and referral data about students who have expressed interest in the University at Albany. The ability to personalize and tailor communications with prospects has enhanced the overall recruitment effort. The system also incorporates an internally developed Internet retrieval process that has dramatically

of their personal data status. employees will benefit from the convenience of not having to notify multiple University offices information being available to all users within the University. Consequently, students and entered, the core data about an individual is maintained in common, resulting in current records within a database that will eventually be shared by all of the University's offices. Once compatible. It utilizes a sophisticated search match process to verify potential duplication of system replaced an outdated, stand-alone database that could not have been made year 2000 the Offices of Undergraduate and Graduate Admissions on Monday, March 29, 1999. The new successfully launched the first module of PeopleSoft's Student Administration software suite in Student Administration. The University's IAS Student Administration Project Team

- Timely, reliable and consistent data and information made possible by a real-time, enterprise-wide solution, integrating financial, human resources and student-related systems.
- Improved service to the entire University Community, including faculty and students, parents, department managers, and staff.
- Provision of truly useful financial information for budget, analytical and management purposes by implementing a campus-based financial information system capable of unified budgeting and reporting across all fund sources available to the University.
- Enhancement of data retrieval and analysis to support executive decision making and external accountability, including user tools for scenario modeling and special report generation.
- Empowering all users and reducing reliance on IT staff by taking advantage of cutting-edge, open technology and end-user tools for analysis and report generation.
- Positioning the University to react quickly to changes in its business environment and to take advantage of opportunities for going beyond its current administrative capabilities.

Project Charter are:
rolled out over the next several years. Some of the major goals of the project, as taken from our new integrated system. Pursuant to a multi-year implementation plan, functionality is being was officially launched in 1997, and PeopleSoft was eventually selected as the platform for the needs in the areas of student administration, financials and human resources. The IAS Project integrated, state-of-the-art, user-friendly system to support its managerial and administrative its legacy platforms. The major goal was to provide the University community with an in 1996 the University began investigating commercially available software packages to replace Integrated Administrative System (IAS) Project. In response to these stated needs,

enhanced the ability to accept and distribute prospective applicant information requests over the web or from departments via intranet. Because of the power of the new product, the University is also able to manage the analysis and distribution of information by level of study, program or source of referral. The ability to further automate the distribution and assignment of communications with prospects through development of communication plans and checklists is being further explored.

With the prospect system up and running, the Student Administration Project Team has now turned its full attention to the development of the application management process using Peoplesoft. During the course of the spring semester, a thorough test of the new Peoplesoft admissions will be conducted and that data will be compared to production processing which is happening concurrently in the legacy systems for fall 2000 applicants. Upon completion of testing and refinement of the new application management functions, training of existing staff and deployment of the new system for processing of fall 2001 applicants in Peoplesoft should be completed by September of 2000.

Human Resources (HR). The HR Implementation Team is working to convert demographic, work location, education, appointment, salary, benefits, leave, and performance evaluation information data from the current Personnel Data System (PDS) to Peoplesoft. Initial end-users will be current PDS users in HR Management, Financial Management and Budget, and staff assigned to each of the vice presidents' offices. Additionally, "new" users consisting of staff from LAN Management and Academic Computing will be trained in those areas of Peoplesoft used to maintain a record of email addresses. Once this crucial, end-user training phase is completed, we expect to "go live" with Base HR and Base Benefits by mid-year 2000. It is the expectation that data access will eventually be widened, allowing departments access to information needed to provide quality service to their constituents.

Telecommunications

The University at Albany initiated a major communications upgrade in 1994. Service was expanded from one campus PBX serving 3,500 faculty and staff only to a network of eight PBXs delivering over 10,000 lines of service to all faculty, staff and all resident students. This expansion was complete with voicemail and a totally campus managed E911 system. In addition, all resident student dormitories were equipped with cable television and data connections on a per-student basis. Continued growth spurred the addition of four more PBXs, bringing four additional separate locations transparently into the campus network with full voice and data service. Planning is underway to respond to new needs that will occur when the construction projects approved in the campus Master Plan are completed.

The University at Albany's non-student data network has changed significantly in the past five years. In 1995, the "core" of the network was a single, 10Mbit thick-wire Ethernet network which tied all podium buildings together. Approximately 1,500 Ethernet-capable hosts were attached to this network. Access to the Internet was provided via a T-1 connection. A plan was put in place to:

The University has achieved its goal of making the network available to students, faculty, and staff. This, in turn, has led to an increased dependency on network-based services and information. Academic departments, human resources, administrative functions, and students all rely on the network to perform the basic operations of the University. The network has now become as integral and important as the telephone system. To assure the network's safety and reliability, the University needs to build a Network Operations Center (NOC). This is needed to monitor the overall operations and performance of the network, to formulate pro-active policies and procedures, and develop rapid diagnostics and responses to network outages.

The next two years will see increased speeds and supported applications. Current shared 10Mbit Ethernet will give way to switched 10/100 Mbit to the desktop. In some instances, gigabit Ethernet will support a building, department or individual machine. Using multicast suppression will provide the ability to do video and audio broadcasts across the network. Point-to-point video and voice applications will also be supported. Internet services will remain at T3 for a majority of our customers. However, an OC-3 ATM connection will be installed this year for NSF-sponsored research projects.

In December of 1995, the University converted its Internet connection from T1 (1.544Mbit) service to T3 (45 Mbit). The number of network connections has since increased to nearly 9,000 nodes. All University buildings were brought online. On January 8th, 1999, the University retired the BCN and installed a Cisco 8540 router. The 8540 provides more than four times the port density and 40 times the throughput of the older device. It also provides a number of enhancements not available on our previous equipment.

A similar infrastructure using standard category 5 cabling was installed in the student residential areas in 1994. In November of 1995, a new BCN (Backbone Concentrator Node) Enterprise router was installed that would provide increased bandwidth and reliability to the University. In order to take advantage of the increased performance and reliability this new core router provided, subnet routing was instituted. By mid-1996, wiring was completed and the over 3,500 machines had revisions made to the IP setup.

The physical infrastructure of the network was installed in 1995-96, with 24 strand multi-mode/12 strand single-mode fiber installed from a core site to a basement signal closet within each building. Additionally, 18-strand multi-mode/6 strand single-mode fiber was distributed from the basement signal closet to each of 6 signal closets within each building. Finally, enhanced category 5 cabling was installed from each closet to all usable spaces on each floor.

- Upgrade the inter-building physical network
- Upgrade the intra-building physical network
- Upgrade the horizontal wiring distribution
- Upgrade the University's Internet Connection
- Provide Ethernet connectivity to all student residences
- Introduce new technologies to increase bandwidth, availability and reliability

Residential Networking Services (ResNet)

user community.

initial migration hurdles to overcome, this project will have a profoundly positive impact on the collaboration in a single interface going far beyond current capability. While there are numerous Outlook/Exchange. This groupware product unifies messaging, calendar, task management, and services is currently realized through the migration of the user community to Microsoft installation, diagnostic services, and centralized helpdesk support. A major enhancement in and peripheral needs, providing vendor quotations, initial equipment set up and software comprehensive and consistent services. These include assisting departments in determining PC increasing demands of the user community. Still, ALS continues its efforts to provide years. As users rely more heavily on technology, it has often been difficult to satisfy the implement new technology in a timely manner have presented challenges to ALS through the Constantly changing technology, never-ending cycles of upgrades, and the ability to Management, and PeopleSoft application delivery and process scheduling.

Services Payroll, the online work order system and AutoCAD of the Office of Facilities such as the Student Loan Services Center and Pell Federal grant processing, University Auxiliary sharing, Web hosting, FTP, SQL database, remote access, etc. It also hosts specialty services end of 2000. ALS provides services such as email, calendaring, contact management, file/printer The LAN operation consists of over 40 servers with disk storage nearing a terabyte by the population it supports.

department's name changed to Administrative LAN Services to better reflect the University (Advancement) and at all campus locations (Uptown, Downtown, and East). In 1998, the (Academic Affairs, Finance and Business, Research, Student Affairs, and University desktop computing services to over 1,200 staff and faculty within every University division and client support to only the members of that Division. ALS now provides a broad spectrum of The Finance and Business LAN was initially created in 1991 to provide LAN services

Administrative LAN Services (ALS)

security affecting any of our myriad systems.

group is to ensure cross-divisional collaboration and cooperation in the event of a lapse in an Associate Vice President representing each division on campus. The responsibility of this first response committee to deal with breaches to campus security. The committee will consist of part of malicious or merely curious hackers. The University is also creating an inter-divisional Failure to do so will expose the University to an unacceptable level of risk of intrusion on the be established for all systems offering services over the network (e.g., departmental servers). develop policies and procedures to deal with security breaches. Configuration standards need to increased number of hack attempts on its systems, it becomes imperative that the University increased use of the network to transport private and sensitive information, as well as the Security, too, must be addressed in a coherent and comprehensive manner. With the

The University has small mission-focused units with computer resources in various departments and centers throughout the institution. In addition, schools, colleges, and research

Distributed Computing Throughout the University

hide members of the community must be developed. of authentication (limited by IP number) no longer viable. Other methods of identifying bona services and information over a wider geographic range renders the current location-based form services. The issues of access and authentication go hand-in-hand. Pushing network-based the demands of third-party vendors who supply the University with turn-key information form of authentication in order to guarantee students' and staff members' privacy and to satisfy seeks to provide a greater range of services to a wider population, it will need to implement some residential students access to these services. A third issue is authentication. As the University forms of information retrieval, collection, and dissemination, the University must provide non-admissions, student accounts, registrar, financial aid) adopt the web and other network-based campus computing students. As more instructors and support services (e.g., the library, technology more fully into the academic curriculum. A second issue of concern is parity for off-One issue the University will examine more collaboratively is how best to integrate this efforts to advance information and instructional technology among the academic community. ResNet staff work in collaboration with Library and CETL personnel, assisting their

are designed to assist students in their use of the network. local news group, and maintains an extensive series of web pages (<http://resnet.albany.edu>) that and services. ResNet also provides phone support, publishes an instructional manual, hosts a support to their fellow students. They diagnose and resolve network problems in conjunction Residential Network Consultants (RNCs) in the residence halls. The RNCs provide technical academic obligations. ResNet trains, assigns, and supervises a staff of students who serve as provides ongoing technical support to the many students that rely on the network to fulfill their ResNet consists of much more than wiring and inter-network devices. ResNet also

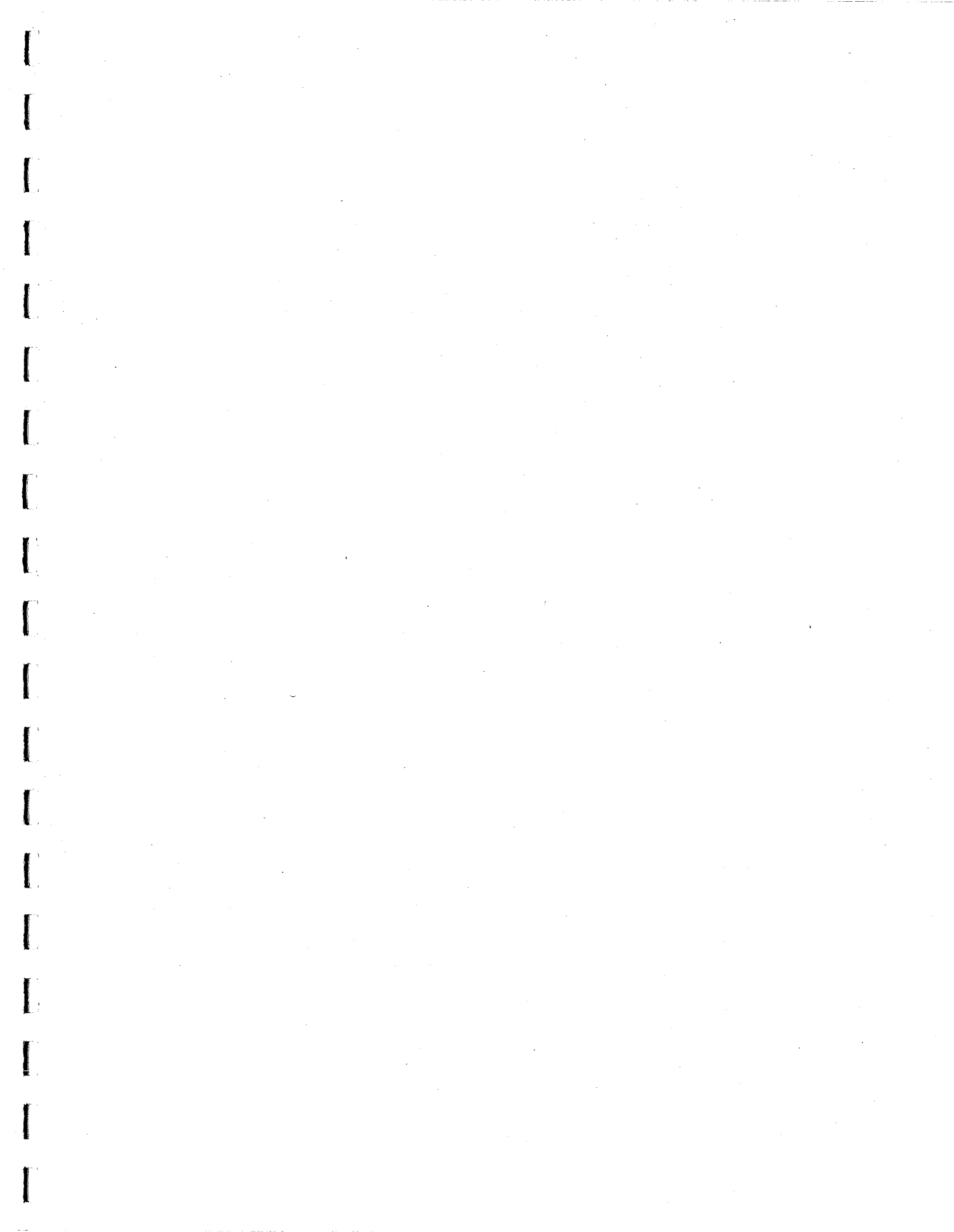
multimedia traffic, as well as the increase in the number of users. 10mbps link to each desktop, the bandwidth necessary to handle the anticipated growth in existing closet hub equipment with switches. Eventually these switches will provide a dedicated switching and high speed Ethernet links (100 - 1000 mbps). Planning is underway to replace the and the concomitant rise in bandwidth demand, the University is currently deploying layer 3 connected to the University's network. To accommodate the increased numbers of participants students were on-line. Today, two out of three residents have one or more personal computers active Ethernet connections. By 1997-98, all 44 residence halls housing approximately 5600 services, and the global Internet. In its first year of service, 1995-96, five residence halls had their personal computers to the network, giving them access to both University resources and data connections. ResNet, the University's residential data network, enables students to connect each student has access to a range of telecommunications services that includes video, voice, and Now that the University has succeeded in laying all new cable plant in its residence halls,

centers and institutes of the University have computing resources of their own. The elements of this distributed computer network are typically supported by grants, industry contributions or other extramural resources. Units with significant computer resources include

- The College of Arts and Sciences
- The School of Business
- The School of Education
- The School of Public Health
- Center for Excellence in Teaching & Learning
- Center for Social and Demographic Analysis
- Atmospheric Sciences Research Center
- New York State Center for Advanced Thin Film Technology

A detailed description of each of these is contained in Appendix 8.2.

With space, technological, and research needs increasing rapidly, the University faces the challenges inherent in undergoing major changes in facilities, services, and programs. The University has continued to strengthen its efforts to provide high-quality and technologically suitable facilities, services, and support over the past decade. As a result of the Strategic and Master Plans and the many efforts and improvements outlined above, the University at Albany is well positioned to achieve its institutional aspirations.



Several University offices and units are responsible for the production of catalogs, viewbooks, *Albany* magazine, and other recruitment materials, as well as for fulfilling the University's obligations for disclosure as required by law and State University of New York policy. This decentralized arrangement (as discussed above) was adopted to expedite a movement to audience-specific communications, and to accommodate ever-expanding desktop publishing capability and the ability of individual units to promote themselves through their own web pages. Although this decentralized approach harnesses great power to address directly the needs and interests of specific audiences, it also requires close coordination and support through the University Relations Office to achieve coherence of message and consistently high quality across the University.

Current Communications Organization

This chapter will focus on communications related to students, both prospective and admitted. It will also review additional communications strategies, and the impact of the emergence of the World Wide Web and other technology on the University's communications.

Institutional challenges that emerged over the past decade affirm the soundness of this strategy. Admissions offices have been required to develop a sophisticated communication flow tailored to prospective students. And the emergence of desktop publishing would undoubtedly have produced much more decentralization across the University even without a conscious decision to do so. Strategic decentralization allowed this development to occur in a planned, coordinated manner. Today, the University Relations Office (within the Division of University Advancement) provides the necessary coordination of campus communications. Its cadre of communications experts assists individual units from across the University.

This approach was supported as well by the philosophy that those closest to the "public" -- or constituency group -- being sought or recruited could best market to that public by determining the messages that would be most effective. It was appropriately argued that the messages should be "audience-specific" -- customized and targeted.

In the mid-1980s the University began a process of decentralizing responsibility for the production of publications and other promotional efforts from the Office of Community Relations to the units directly involved in the efforts. Given the scope and complexity of the University's programs and services, it was decided that a central office could not provide sufficient services to meet the needs of all these units.

Overview

Chapter IX CATALOGS, PUBLICATIONS, AND PROMOTIONAL MATERIALS

The Bulletin is provided to each incoming student at the time of initial matriculation and advisement. The current Bulletin is also posted on the University's web site in an "exploded" format that allows its sections to be linked to other sections of the University website.

The Undergraduate Bulletin is the definitive source of information for currently enrolled students regarding the policies and academic requirements by which they must abide. Indeed, the Bulletin is regarded by many as the "contract" between the student and the University, making accuracy and internal consistency a high priority. The Dean's Office, through review of institutional actions regarding the curriculum, as well as through circulation of text to all academic and relevant departments, verifies changes, additions, and deletions by the University Senate and its Undergraduate Academic Council.

The Undergraduate Bulletin is responsible for its accuracy and integrity. The Undergraduate Bulletin is issued each academic year and the Dean of Undergraduate Studies, a current roster of faculty, all academic policies, tuition costs and refund policies, educational opportunities, and a description of program requirements and Mission Statement, is included in the Bulletin. The Undergraduate Bulletin contains the University's

Academic Program Information in the University at Albany Bulletins

The University's Office of Institutional Research is the University's official source of institutional information (e.g., required by external entities, sought by prospective students, etc.). For example, the Office of Institutional Research fulfills all requests for data from college guide books, magazine surveys of colleges and the National Collegiate Athletic Association (NCAA). The Office of Institutional Research also monitors compliance with reporting requirements of mandated information disclosure, such as the Student Right to Know law. (SUNY System Administration also provides data to individual SUNY institutions to comply with this and other laws.)

Assuring Integrity of Factual Information

- Office of Graduate Studies
 - Office of Undergraduate Studies
 - Office of Undergraduate Admissions
 - Office of University Relations
 - Office of University Marketing
 - Office of Creative Services
 - Office of Student Affairs
 - Academic units offering graduate degrees
 - Academic Computing Center
 - Other administrative units (including several in Student Affairs).
- The following offices produce publications and other communications that promote the University to various constituencies, including prospective students:

Several changes in the past decade have given rise to the need for a multi-faceted series of communications with prospective students. As noted in previous Chapters, in the 1990s, the University at Albany, like other institutions of higher education in New

Student Recruitment Efforts: Publications and Other Media

Beyond these requirements, the Division of Student Affairs has developed a set of publications, from media guides for Athletics to calendars providing useful information to on- and off-campus residential populations. The Division is also in the process of re-conceptualizing the Student Handbook.

Other Student-Related Communications. The Division of Student Affairs is responsible for the collection and dissemination of information to students in two essential areas: Students' Rights and Responsibilities and the Crime Statistics reporting required of all colleges and universities. The Students' Rights and Responsibilities publication is disseminated to new students along with their Residential Life and Housing contract. The Division provides the Office of Undergraduate Admissions with copies of the Crime Statistics reports that are then shared with prospective students. Daily crime logs are shared with the Albany Student Press, and posted on the University Police website.

When prospective graduate students request information, the Graduate Office provides two sets of material: the "Graduate Viewbook," which provides general information about the University, and hard copies of those pages from the on-line Bulletin that describe the individual program or programs which the student has requested. Admitted students' actual program requirements are conveyed to them in their letter of admission, which also directs students to information regarding academic policies and regulations. This strategy has not only reduced costs but also provides timely and complete information to prospective students, regardless of their access to the Internet.

Several years ago the Office of Graduate Studies determined that not only was the cost of mailing the Bulletin to prospective students extraordinarily high, but also that the Bulletin was not an effective recruitment tool. On the other hand, the Graduate Viewbook, designed to provide prospective students with general information regarding graduate study as well as more detailed information about the graduate and research environment of the University, proved a more effective marketing/recruitment publication. Given that the University's website was concurrently emerging as a well-visited location, the decision was made to print only the Viewbook, and to rely on the website to provide the more detailed information of the Graduate Bulletin.

Graduate Bulletin. Maintenance and production of the Graduate Bulletin is the responsibility of the Office of Graduate Studies. For the last three years, the 'official' and complete version of the Graduate Bulletin of the University has existed only on the web. No printed version of the Bulletin has been produced since 1996-97. The on-line version of the Graduate Bulletin contains the University Mission Statement, a current roster of faculty, all academic policies, tuition costs and refund policies, educational opportunities, and a description of program requirements and courses.

York State, confronted major student recruitment challenges stemming from the dramatic decline in the number of high school graduates. Throughout the decade, the University strengthened its recruitment efforts – both at the undergraduate and graduate level. Improvement of publications that traditionally support recruitment has been an important part of the process. In the 1990s, however, another important communications vehicle has emerged – the University's website. Increasingly, material available in published form is also available on the website; indeed, more and more material is being developed for web-only publication (e.g., the Graduate Bulletin). While not everyone yet has access to the Internet, increasing numbers of prospective students visit our website. While both printed and on-line materials are still necessary, it is clear that our website is an appropriate recruitment communications tool, and that in the decades ahead it will be essential. We are preparing now for that time.

Undergraduate Recruitment. In the mid-1990s, both the design and content of recruitment publications were improved in order to strengthen undergraduate recruitment. A 1996 market position analysis by the consulting firm Noel Levitz provided data on how the University was perceived and what kinds of information and messages it needed to communicate to prospective students. Subsequent recruitment publications reflected that analysis.

The University has developed a comprehensive, cohesive and integrated communication plan for prospective freshmen. The major elements (samples available in the Document Room) of that communication plan include:

- Search/inquiry (initial contact) brochure
- Viewbook and campus application
- Campus Visit and General Information brochure
- Student Profiles piece
- Academic programs piece ("Making the most of your Albany years")
- Presidential Scholars program brochure
- Individual departmental fact sheets
- Project Renaissance brochure and application
- A variety of special letters (alumni letter, parents letter)
- An admissions web page

Undergraduate recruitment efforts and responsibility for supporting publications are centralized in the Office of Undergraduate Admissions. This assures the integrity and consistency of the publications. There is wide consultation and review prior to the publication of any recruitment materials.

The University's web site, relatively new, is an important vehicle for undergraduate recruitment. In January and February 1999, there were 6,500 visits to the Admissions web page. The Admissions Office is making timely updates to the web site and including opportunities for interaction – for example, registration for Open House via the web. It is a still-emerging medium that requires continuous attention and special skill, as well as a strong marketing sense. The Admissions staff will pay close attention to this new me-

Summer Sessions Recruitment. The summer session student body is about 5,000 students, 68 percent of whom are degree students at the University at Albany (mainly undergraduate). The balance comes from five groups: the work force (especially teachers), adult learners, high school students, visiting college students and community college stu-

The Office of Graduate Studies has recently introduced on-line applications and has already had a promising number of applications submitted electronically, underscoring the importance of the web. Finally, for some years, the Graduate Studies Office has been collecting information from applicants about how they first learned of the University at Albany. These data are currently being tabulated and analyzed in order to provide the campus with important market research.

At the graduate level, the quality of the information provided on the web site is essential, especially departmental information. In recent years, substantial investment and effort have been directed to improve (or in many cases to create) departmental web-sites for recruitment of graduate students.

The Office of Graduate Studies also advertises locally every semester for non-degree graduate students, promotes graduate opportunities to the University's own undergraduates, distributes application materials, including on-line, and conducts some travel for recruitment. Individual academic departments follow up with their own publications and advertising efforts. Especially notable are department web sites (some of which use direct links to faculty research interests), publications developed by academic departments, paid advertising in Peterson's (the School of Public Health stresses this source) and, of course, personal efforts by faculty.

- A brochure describing graduate program opportunities that is sent to GRE test takers
- The graduate Viewbook, which contains general university information and brief synopses of graduate programs of study
- Specific program information
- A welcome piece
- Centralized local advertising

Graduate Recruitment. Graduate recruitment publications are considerably less centralized than undergraduate efforts because recruitment responsibility is delegated to the academic units. This has produced a number of successful – and customized – recruitment efforts. The Office of Graduate Studies is most often the point of first contact for prospective students. The office is responsible for production of:

Everything from easy access to information in the recruitment cycles of the future. In fact, the Undergraduate Admissions Office recently hired a new Director with a strong marketing background and two new staff with similarly strong abilities in this area to accelerate its evolution toward a marketing approach.

- Albany magazine, the University's primary external publication. Published three times a year, it is distributed to about 85,000 donors, alumni and other priority audiences.
- Update, the University's 8-page faculty-staff newsletter, is published every other week while classes are in session. It is primarily an internal communications vehicle but is also sent to an external audience of about 1,200, includ-

Document Room):

The University Relations office is responsible for (samples available in the

effort. other activities, many of which interact with the University's image and communications advancement Division as a whole is also responsible for fund-raising, alumni relations, and media, reach out to public media, and communicate to internal audiences. The Ad- Relations. The University Relations staff produces general publications and non-print tonal image resides with the Division of University Advancement's Office of University Responsibility for conveying and managing the University at Albany's institu-

University-Wide Promotional Efforts

In summary, the quality of recruitment publications and related communications at the University at Albany has been strong through the past decade and is improving, especially with recent attention to websites and department-based publications, as well as substantial improvement in undergraduate admissions pieces.

General Studies Recruitment Publications. The general studies program predominantly enrolls students who are trying to qualify for admission to the regular undergraduate program as well as students from other colleges that are members of the Hudson-Mohawk Consortium. The University engages in only modest efforts to encourage students to enter through this door. Although there are obstacles to a strong student enrollment on this course-by-course basis (primarily the lack of late afternoon and evening courses sufficient for students to meet degree requirements), the University recognizes the importance of this enrollment vehicle and is developing a comprehensive set of offerings for nontraditional adult learners.

- A preliminary schedule of summer course offerings (which is mailed to several lists, including area college students)
- Local radio and newspaper advertising
- Website
- Summer School Bulletin

implemented by the Office of Summer Sessions:

The following communication plan (samples available in the Document Room) is

As with many universities, summer school is run as an independent "business", the revenues of which support staffing and other activity throughout the University.

Despite its ubiquity, communication via the web is a recent development. The University at Albany launched its first site in July of 1995. In 1996, web server hardware was procured and Netscape was implemented, prompting rapid growth as the number of students, faculty, and staff building websites went from 9 to over 150. In 1997, websites were created for each academic department and program; course instructors began to use the web in significant numbers; and the first downloadable undergraduate admissions application forms went online. By that time, only two years after the website was launched, more than two-thirds of our research centers had web pages. The following year, graduate admission forms were added and web uses were diversified. New initiatives included interactive university maps and survey applications for researchers. There was continued rapid growth in the presence of faculty, students and staff on the web. At present, the total number of files and directories in the main web exceeds 60,000. The number of web pages is over 26,000, more than 300 of them for academic courses.

Opportunities Presented by Emerging Information Technology

The Office of Creative Services, located within the University Relations Office, provides creativity, expertise, and facilities to create printed and, increasingly, electronic publications for clients within the University. This unit's role provides a natural oversight checkpoint for quality control of the University's graphic image.

The University Relations Office is also a broad information source for the general public, answering a wide range of questions forwarded to it from the University web site and from telephone callers. It serves as a communications link to SUNY system public relations offices and performs a mix of other public relations responsibilities.

The University Relations Office promotes a wide range of University news to media through press releases, the University *Update*, the Resource and Media Guide, electronic news services and through direct contacts with media. The New York State Writers Institute, the School of Business and the Center for Technology in Government have communications professionals on staff; the Center for Advanced Thin Film Technology directly handles most of its media relations, as does the University Athletics Department. The University Relations Office has ongoing relationships with all of these units. A major priority of the office is to expand useful coverage of the University in national media outlets.

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 - The University at Albany Foundation Annual Report.
 - The University Facts Card.
 - A range of other publications, both periodical and occasional.
- ing media, local leaders, retired University employees and others. It is also published on the University website.
- The Resource Directory and Media Guide, a listing of faculty/staff members and their areas of expertise, used to promote news coverage of the University (soon to go online).
 - The President's Report, an annual report by the University President on the state of the University.

The website clearly serves many functions and conflicts between them are evident and inevitable. The "growing pains" of this new medium is a national problem, not merely a local one. Involved are complex issues of technology, intellectual property and freedom of expression. Many campuses have solved this by use of an Intranet for internal activity accessible only to members of their community (students, faculty, etc.); the University will explore this alternative.

Finally, the University recognizes that one of its most important emerging challenges is to develop realistic strategies to provide the necessary resources and training so that all members of the University community can fully reap the benefits of the web. Use of this technology has grown dramatically since 1995. There is no reason to expect anything except an increasing impact on our programs over the next five to ten years.

Chapter X INSTITUTIONAL CHANGE, RENEWAL, AND ADDRESSING THE 21ST CENTURY

Institutional Processes

As noted in Chapter II - Campus Mission and Planning Processes - planning for change at the University at Albany has a long and distinguished history. Throughout much of the 1970s and all of the 1980s, the institution evolved a formal, although inward-focused process of Five-Year Planning. During this period, the process became increasingly sophisticated and included formulation of Action Steps, annual Progress Reports, and rolling Three-Year Updates. Planning was managed from the Office of the President and was directly overseen by a staff member with the title Director of Planning. It involved every Vice Presidential division, academic department, and organizational unit on campus, with all Deans and Chairs, most Directors, and many unit managers actively participating.

Over the course of more than a decade, this process was refined and was informed by, or in some cases helped shape, such guideposts as the 1977 *Mission Statement* and the response of the campus to the State University's Graduate Research Initiative in the mid-1980s. Thus Five-Year Plans often became the first public venue in which a department or other unit's new ideas were presented. In terms of curriculum, possible changes ranged from preparation of a new course, through reworking the structure of a major or minor, to development and implementation of a new doctoral degree proposal. In the research domain, proposals to move a department in a complementary or wholly-new direction through substantial facility upgrades or hiring of faculty were commonplace. Such changes usually had significant budget implications, of course, so that the lines between planning and budgeting inevitably overlapped.

This planning structure served the University well. In fact, as a process, it achieved such national visibility and distinction that it was made available to other institutions through a series of seminars and workshops conducted under the sponsorship of the National Center for Higher Education Management Systems (NCHEMS). But it also became, in some sense, an end in itself, with no structured method of systematic re-evaluation of the underlying assumptions and institutional imperatives on which the planning process was based. Of equal importance, because it was so focused on internal issues, the process implicitly assumed "fixed externalities," especially with respect to State budgeting. Mindful of these perspectives, but also aware of how much such planning had contributed to shaping the institution, President Swygert, during his first year as Albany's new leader in 1990-91, took two significant steps: he temporarily suspended the Five-Year Planning process, and he articulated the growing sentiment on campus in favor of revisiting and revising the 1977 *Mission Statement* to acknowledge the substantial growth and maturation in the institution during the interim. Indeed, in hindsight these acts were the opening steps in a systematic change in the way in which

the University brings about change - a process of meta-change - and allowed the many parts of the institution to give stronger voice to future changes.

Mission Statement. The seed for the idea of revisiting the 1977 *Mission Statement* was in fact planted by the 1990 Report of the Middle States evaluation team. As part of the Presidential transition, an Advisory Committee on Campus Priorities, comprised of members from both the 1989-90 Middle States Steering Committee and the Presidential Search Committee, also listed among its recommendations in 1990-91 a review of the 1977 *Mission Statement*. With those twin imperatives and the impending sesquicentennial celebration of the University's founding in 1854, and after consultation with faculty governance, President Swygert appointed a Task Force of 33 faculty, staff, and students in Fall 1991 to craft a new mission statement that reflected not only a forward-looking perspective but also the institution's rich traditions. Additional background and selected details of the deliberations by the Task Force were presented in Chapter II - Campus Mission and Planning Processes.

Strategic Planning. Over the past decade the University at Albany has re-engaged strategic planning as a means of addressing the challenges of the future. At her inauguration in spring 1996, President Hitchcock issued a call to chart new institutional courses for the future and then commissioned a Strategic Planning Committee dedicated to "charting a path into the 21st century." Additional background on the work of the Strategic Planning Committee was presented in Chapter II - Campus Mission and Planning Processes. Here we note that the formulation of the Strategic Plan, *Charting the Future*, accepted by President Hitchcock in fall 1998, yielded not only a firm and broad set of objectives for the year 2000 and after, but, equally important, created the model for an ongoing process of institutional response to future trials and opportunities.

This model works through inclusiveness. The Strategic Planning Committee drew members from all units of the University, and it sought and received input from a variety of committees and councils. The model encourages follow-through and feedback by extending the process of strategic planning to the colleges, schools, and divisions. It has instilled an orientation toward the future by turning the attention of faculty and administrators to the constant and inevitable changes that characterize the higher education of today and tomorrow. Making concern for the future a habit is a value that cannot be overestimated in the academy, with all its comfortable ties to past practice. The scale of the planning process does not have to be University-wide in all cases. It will be determined by the size of the issues that are encountered. In any eventuality the model has given the University a tested and flexible means of pursuing innovation and change in the new century.

Master Plan. Arguably the biggest gulf to be bridged between the stature to which the University has grown during the past two decades on the one side and its potential to achieve recognition as a Carnegie Research I University on the other is the quantity and quality of its physical space, on both the Uptown and Downtown Campuses. The groundwork to change that situation was laid by President Swygert and consummated by President Hitchcock in extensive conversations and lobbying efforts

New Programs. The process of creating new programs at the University is a combination of top-down and bottom-up activities. It is driven by a number of factors, including the perceived needs of New York State and society in general, specific

Individual Courses. Creation, revision, and deletion of particular courses is a systematized process as described in Chapter IV - Academic Programs and Outcomes Assessment. On average, the University creates 20-30 new undergraduate courses per year and revises (or deletes) another 80-100. At the graduate level, it creates 20-25 new courses per year and revises (or deletes) another 20-25 per year. In practice, at the graduate level especially, there is often a lag between the time when changes are first introduced and a formal request is submitted for course revision (or deletion), this step often accompanying the departure of a faculty member. The most important of the University's formal support mechanisms for curricular development by individual faculty members is discussed in the next major section on Teaching Processes.

The University's curriculum may change as the result of normal, on-going activities of individual faculty members in revising course offerings; when Departments, Colleges, and Schools develop new degree programs; or from institution-wide efforts that span disciplinary and even Divisional boundaries.

Curricular Processes

The University has approached these transitions as an opportunity... unusual in its magnitude... to recruit the highest-caliber administrative leaders who are committed to working as a single cohesive team. Many of the searches are now successfully completed. Strong pools of experienced, perceptive and enterprising senior administrators competed for the various vice presidential and decanal positions, and we now have in place an extremely strong leadership team which is committed to working together to move our institution forward. Appendix 10.1 lists the status of the eight key searches, appointees and their prior institutions.

Administrative Leadership Transition. The university expanded its faculty in a major way during the 1960s and 1970s. One consequence of this historic fact is that many faculty and administrative leaders who have participated in the University's growth over the intervening years are reaching retirement age. Add to these retirements a number of leaders who have been recruited to other institutions or roles, and inevitably, the University is experiencing a number of changes in senior administrative positions. In fact, within the past two years the University has conducted or launched nationwide searches for three of the five vice presidents and five of the eight deans.

with SUNY administrators and elected State officials. The result was the institution in 1996 of a Master Planning process with the full collaboration and participation of the State University Construction Fund. Details of the background of this process, the composition and role of the Steering Committee and its subcommittees, and the resulting reports of the Master Plan are given in Chapter II - Campus Mission and Planning Processes.

University objectives articulated in the University's Mission Statement and Strategic Plan, opportunities that expand or complement existing programs and expertise, and the economic reality of funding availability. In recent years, additional factors such as the changing educational needs of the public for lifelong learning and flexible scheduling, and new opportunities in the higher education enterprise afforded by information technology and strategic partnerships have factored into this equation. This process of curricular innovation remains active on the campus, and a number of new educational programs at both the undergraduate and graduate levels have been developed since the last Middle States review. These are described in Chapter IV - Academic Programs and Outcomes Assessment.

Resources and Enrollment. Curricular innovation is driven by many factors, one of which is enrollment pressure. Funding for University operations is received from a number of sources, including a return of tuition and fees as part of the New York State budget process. Although formerly very complex, in 1998 SUNY adopted a simplified Budget Allocation Process for campus allocations that was designed both to make the process simpler and more equitable, while at the same time to give campuses more fiscal responsibility for local decisions. Campus enrollment is a major component in the Assessment.

Formal Review Procedures. Proposals for new programs and degrees follow a lengthy combination of on-campus, SUNY-wide, and State Education Department review processes. Reflecting the need to balance individual initiative and controlled planning, the campus review process includes oversight by both administrative officers and campus governance as programs are developed. The procedure is comprehensive, with School/College-wide review and University-level reviews included in the process. The process of program review is thorough, with proposals subjected to intense scrutiny both on- and off-campus. As a result, programs that emerge successfully are academically sound, consistent with the mission of the University, and financially sustainable. Descriptions of the procedures for the development and review of new programs and degrees are further described in Chapter IV - Academic Programs and Outcomes Assessment.

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This process of innovation and change in curricular development is on-going. New initiatives in Materials Science, Information Science and Policy, International Studies, Public Administration, and Computational Science, are currently under discussion. Some of these will no doubt be highlighted the next time the University engages in a process of self-study and reflection.

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What we in the academy have *not* yet done with the same degree of rigor is to analyze the validity of our current modes of teaching and the form and content of our

Institutions of higher education that participate in the transformation in learning which will be required in such a society will serve their students in ways previously unimaginable. Our challenge as educators is to truly "think anew", to envision the future of our students will face, and, in that context, reconceptualize our role in preparing them for that future. The faculty at many colleges and universities, including the University at Albany, have developed excellent new educational programs utilizing the capabilities of the new information technologies. We are, indeed, becoming more and more adept at utilizing these new technologies as a means to increase the efficiency and, in some cases, the effectiveness of our current modes of teaching.

Clearly, information will be readily accessible from a variety of providers; emerging societal issues will be global in scope and demand a multiplicity of perspectives; the work place will be more entrepreneurial, more collaborative, more fluid; and rapidly evolving technologies will lead to a complexity that will demand life-long learning.

Given higher education's core value of advancing and disseminating knowledge, the academy should be at the very heart of the unprecedented demands and opportunities for learning. To fulfill such a role, however, we must first take leadership in envisioning how the *needs* of those we seek to educate will change . . . and then devise strategies to meet those needs. Indeed, the knowledge-intensive world of life and work our students will enter will require a new paradigm for learning.

Teaching Processes

simplified formula, along with research, campus mission, and performance incentives. President Hitchcock has committed to extending this budgetary simplicity and responsibility to all levels of the University in a way that will make the individual units more accountable for their decisions, including the retention and development of their students. In a larger sense this will enhance the sense of community that must bind us together. As she said in her Fall 1999 Report to the Faculty, "Departmental as well as individual accountability may well represent the paradigm for change that will allow us to move beyond simply incremental improvement to true institutional transformation."

Increasingly, business realities will temper the initiatives that emerge from the campus. The University's tradition as a comprehensive research university, so eloquently detailed in the *Mission Statement*, is complemented by the University's long-range goal of expanding enrollment to 20,000 students. Areas in which the University has particular strength - interdisciplinary scholarship, external partnerships, applied research - are those that are being emphasized in new program development. We believe that these strengths will allow us to continue to grow and achieve recognition for our excellence in both our research initiatives and educational offerings.

Professional Development. The importance of the role of professional development for faculty, especially as that development relates to the work of teaching and learning, and more generally to the work of the University, was indicated by the Interim President Hitchcock in Volume 1, Issue 1, of Focus on Teaching, the newsletter of the University's Center for Excellence in Teaching & Learning (CETL). During its five-year existence, the computing and technical service resources of the Center for

The most basic assumptions of the University as a "place" of learning are being challenged. Certainly we are no longer the sole site, the sole repository of information. The new information technologies have the potential to alter in the most fundamental ways the role of a university in learning. This is our new reality and our new opportunity and our new challenge.

Our institution, throughout its history, has demonstrated its ability to enhance its vision in response to changing needs and new opportunities. Our faculty have long been leaders in promoting new ways of thinking and learning across disciplines, in linking theory and practice in imaginative ways, in enriching our undergraduate curricula with opportunities for research and scholarship, in developing programs of study which are responsive to the changing needs of a changing society. Building on this legacy of innovation will be essential as we develop a learning environment for the 21st century.

Many of our faculty here at the University at Albany are already deeply engaged in such a reconceptualization of the learning environment. They will be our guides, our tutors, as we face the new realities surrounding higher education.

This, then, is our continuing challenge: to examine both how we teach and what we teach, to lend our creative energies to anticipating the new demands and opportunities our students will encounter in a society they must lead and help to shape. This challenge will clearly require us to refocus ourselves around our mission of learning, to put our students and their future at the center of our deliberations, to bring the power of our scholarship and research to bear on the curricular and pedagogic challenges we face. As we re-conceptualize our relationship to our students, both traditional and working professionals, we have the opportunity to revitalize the intellectual interaction of faculty and student which is at the heart of our enterprise. We must create a learning environment which is more flexible, more individualized, more focused on fostering discernment as well as interpretive and analytic skills, more interdisciplinary, and more collaborative, an environment where student and teacher share in a powerful learning experience. In short, we have the opportunity to reaffirm the importance of "place" ... reaffirm the importance of those personal interactions of mentor and student which define a quality learning environment.

Such analysis will require us to eschew provincialism; to work in partnership with all sectors of society to assess the educational needs of our students; and to reaffirm, but also reinvigorate, our basic values by realigning our methods and goals to meet more fully these changing needs.

The University's Languages Across the Curriculum program was initiated with a FIPSE grant administered by CETL. During the life of this grant, the program supported

Over the few short years that CETL has been in operation, a number of special curricular programs and projects have been initiated and developed under the leadership of the Center. For example, the development of Project Renaissance (see Chapter IV -- Academic Programs and Outcomes Assessment) was organized through CETL as a multifaceted curricular and faculty development initiative that drew on the rich and varied resources of the University. The Center is also currently using a similar faculty development coordination model in helping faculty define a new curricular component for the Presidential Scholars Program.

On a day-to-day basis, CETL assists faculty in their focus on teaching, as described in more detail at the Center's website (<http://www.albany.edu/cetl>). Some of the activities which the Center is and has been engaged in over the past five years include the direct support for faculty through such programs and initiatives as the New Faculty Orientation Program, workshop and seminar series on teaching, and individual instructional consultation. Similarly, the Center supports the growth and development of graduate teaching assistants through the New Graduate Teaching Assistant Orientation Program (hosted each fall before the term begins), and ongoing support through seminars, workshops, and individual consultation. The Center and its staff also contribute to shaping the teaching culture at the University through their ownership of and participation in a number of teaching- and community-related email lists such as Teach-VA (for faculty concerns about teaching) and UATA-L (for graduate teaching assistants), as well as smaller or more focused lists.

CETL's new quarters in the University's Science and Math Library include four digital classrooms, a faculty development laboratory for instructional technology, electronic multimedia studios, seminar rooms, and a teaching resource center. With its advanced technology, ubiquitous connectivity, and increased access to information resources, the facility will meet the needs of the entire University community well into the new century. The Center moved into these new facilities in fall 1999; its growing services demonstrate the University's commitment to the professional development of its faculty.

One of the first projects of the Center -- a comprehensive review of the University's General Education Program -- was accomplished in part through grant funding, and, throughout its history, external funding has played an important role in the work of faculty and curriculum development: from the Center's initial NYS/UP Professional Development & Quality of Work Life (PDQWL) study of General Education to the most recent PDQWL "Meeting the Challenges of the New Millennium: Faculty Development and Technological Change" grant, CETL has attracted over \$500,000 in external funding in its five year existence.

Excellence in Teaching and Learning (also discussed in Chapter VIII.) have empowered CETL to make significant contributions to both faculty and curriculum development.

the inclusion of second language materials in courses throughout the University. Additionally, in an effort to extend the impact of the grant beyond its termination, some grant funds were used for a curricular reform project to promote cross-fertilization between the language departments and other departments in the University.

The Instructional Web Page Project began in 1996 as the GENED Web Project. Instructors of General Education courses were approached and offered assistance in creating Web sites related to their courses. CETL now offers three levels of service to faculty who would like a Web presence for their courses: (1) CETL will create a standard course page/syllabus by combining the faculty's syllabus with a standard template; (2) CETL members on the Instructional Web team will work with a faculty member to show him or her how to create, install, and manage files in a Web site that the faculty member owns and operates; and (3) CETL currently offers support for a Web-based course management system called WebCT, as well as making referrals when appropriate to other related campus organizations, such as the Library's Electronic Reserves system (Eres: <http://eres.ullb.albany.edu/eres/>). The Instructional Web Project now encompasses over 500 pages in the Course Materials Index (<http://www.albany.edu/courses/cmi.html>) for the fall 1999 semester.

In 1996-97 the Innovations Fund was initiated to provide funds to individual faculty and groups of faculty for new teaching applications. CETL reviewed applications and made recommendations for funding. For each funding round, CETL also offered a workshop on writing effective, competitive (fundable) proposals. Because of internal CETL management changes, the Innovations program is currently suspended.

The Reflective Practice Initiative is an ongoing program in the Center. Its purpose is to enable any instructor (faculty member or GTA) to consider teaching in a systematic and thoughtful way. The Faculty Guide to Teaching outlines several techniques for obtaining feedback about one's teaching, including videotaping. CETL has developed a rating checklist of more than 40 items covering topics such as clarity of presentation, class structure, exciting students' interest, questioning technique, and verbal/nonverbal communication. CETL provides a videographer (one of its staff or student assistants) who films the class and then turns over the resulting tape to the instructor for his or her private viewing. An instructor who wishes to discuss the tape can make an appointment with a CETL staff member for a private consultation. CETL is accumulating a library of reflective practice tapes, examples of excellence in teaching which others can consult.

Another way the Center has found to help departments develop and address their own needs has been through the use of internships. CETL typically oversees at least two or three student interns (graduate and undergraduate), working on projects with specific relevance to the students' departments. Students then take the knowledge acquired during their internship back to their Departments to be shared with a wider audience.

Distance Learning and Collaboration. *Link with Hudson Valley Community College: The University at Albany has participated in various experimental and pilot*

programs for technology-mediated, non-residential instruction throughout the 1990s and has learned important lessons from those experiences. For example, in 1993 the University joined Hudson Valley Community College (HVCC) in a trial organized by NYNEX (now Bell Atlantic) and the New York State Office of General Services (OGS, the State counterpart to the Federal General Services Administration). OGS was interested in delivery of instruction and training to widely-dispersed State agencies and offices and NYNEX was interested in testing state-of-the-art technology. As a result, classrooms at the University and at HVCC were connected at greater than T-3 bandwidth, and each was equipped with cutting-edge, even prototype technologies: two-way, full-motion video; phase-corrected, voice-activated audio; fully-interactive, PC-driven video whiteboards; and every imaginable traditional tool (fax machines, phones, overhead projectors, workspace TV cameras, etc.).

For three semesters and three summer sessions, the two institutions taught courses from each location, made available by cross-registration to students at the other institution. The trial was both a major success and a major failure. Although far too expensive to adopt as a routine production system, the technology was a stellar success. Faculty in both institutions loved using the system. It gave the distant students a "presence" at the instructor's site that could not have been achieved with anything less. Perhaps more importantly, the faculty appreciated the immediacy and recall of the content in the video whiteboard systems. "Erasing" no longer necessarily connoted "losing." Unfortunately, the larger lesson was that content matters in a more fundamental way. In hindsight, the pairing of a research university and a community college for such an effort is unlikely to pay dividends. Despite their physical proximity, which minimized the distance of a high-bandwidth connection and therefore the cost, the two institutions were largely mismatched in terms of student interest and demand. This was a sobering lesson as the early enthusiasm for distance learning was necessarily tempered by economic reality.

EASTNET. With the University at Albany as the hub, in 1996 a network employing full-motion, video-interactive classrooms was established to link the University Centers at Albany and Binghamton and the College at Oswego to establish a distance learning network for SUNY in eastern New York State. Although the EASTNET system is synchronous, it does enable course offerings and degree programs to be delivered to students in regions too far to commute to and from Albany regularly. Initial programs utilizing the technology of EASTNET included programs initiating at Albany and Binghamton and transmitted to one of the other sites. Subsequent programs have used the same technology and delivered programs to both the College at Plattsburgh and the University at Buffalo.

The EASTNET concept also incorporated the SUNY Satellite system, which enables the University at Albany to reach remote learners through the use of this technology, including one-way video and two-way audio. As a result of the EASTNET initiative, the University at Albany has a core of faculty familiar with interactive video and satellite transmission which provide yet two more teaching and learning delivery systems.

Hudson-Mohawk Consortium: The University at Albany is a founding member of this 20-institution consortium based in the Capital Region. Informational seminars and workshops on critical topics in areas such as pedagogy, curriculum, distance learning and diversity are available for faculty and staff from all member institutions. The most direct benefit to students is their ability to cross-register at other institutions for courses not available at the University at Albany, as well as to students in other institutions to register here. In 1999, 148 University students took advantage of this opportunity. In addition, students may take advantage of special programs sponsored by the consortium, such as the Educational Leadership Corps.

Information Technology: While SLN and EASTNET have the potential to serve campus-based as well as remote students, the necessary infrastructure must exist on the campus to serve the needs of faculty delivering instruction, students accessing the campus, and faculty and resident students. (See Chapter VIII-Facilities and Academic Infrastructure for a full description of the information technology infrastructure of the University at Albany.) The Academic Computing Center has established policies/procedures to enable remote students to contract with a residential, private Internet provider, and develop authenticated access to restricted information resources from off-campus. Similarly, as noted previously, an Electronic Reserve Room has been created by the University Library to allow students to access reserve materials electronically. This is invaluable for remote students.

The SLN, which now can claim a core of experienced faculty, provides a flexible vehicle to deliver instruction to remote students. While each faculty member will decide the appropriateness of delivering his or her specific course over the network, there is a process in place to accommodate this delivery mode. Additional information about the SLN and a current catalog of course offerings is available in the Documents Room.

The SLN is a voluntary program; participation is determined by each campus and campus policies and procedures apply as in any on-campus program. The University at Albany was among the first to design courses for distribution via SLN. Faculty participation is voluntary and attracting faculty to participate is done, basically, by word of mouth, written/oral information through Deans and Chairs, and informational meetings held on campus. Coordination of which courses/programs should be offered on SLN is the responsibility of the Office of the Provost and Vice President for Academic Affairs.

SLN: The SUNY Learning Network (SLN) is a State University program that supports SUNY campuses working collaboratively to offer distance learning courses and degree programs in an on-line environment. The SLN does not award credit or degrees, but rather supports campuses by providing centralized services, such as faculty development and training, instructional design and support teams, marketing and promotional activities, a Help Desk, and a common student registration process.

Research Processes

In keeping with the goals of its 1998 Strategic Plan, *Charting the Future*, the University is focusing intensively on enhancing its research programs and their impact, national profile and financial support. The Executive Cabinet, especially the President, Provost and Vice President for Research, and their key staff will continue to work closely together to provide the leadership required to bring this goal to fruition. Processes and approaches being used to accomplish this include:

- Developing new public-private partnerships
- Augmenting research faculty and staff
- Developing and better managing fiscal resources
- Improving research facilities
- Revitalizing and reorganizing research support services
- Improving communications and outreach

Each of these is discussed in depth in sections below.

Developing New Public-Private Partnerships. To better integrate the

University's research program into the societal and economic framework of the region and state, the University has, over the last several years, striven to develop and enhance its partnerships with government and industry. Several outstanding examples of such partnerships are the Center for Technology in Government; the Institute for Materials Research and Applied Sciences; the Atmospheric Sciences Research Center; the Institute for Traffic Safety Management and Research; and numerous activities on the East Campus involving companies (e.g., Taconic Biotechnology, Inc., Albany Molecular Research, Inc.) and state government (The Departments of Environmental Conservation and Health). In addition, the University is engaged in developing ever-closer research collaborations with regional partners such as Rensselaer Polytechnic Institute, Albany Medical College, Albany College of Pharmacy, and the Department of Health's Wadsworth Laboratory. These collaborations have been extremely successful in advancing our institution's research productivity and external sources of support (see Appendix 7.1 for details). Equally important, the research flowing from such collaborations has already had a major impact on the quality of life and economic vitality of our Region.

Augmenting the Research Faculty and Staff. Although the University is a recognized leader in social science research, areas of strength traditional at other research universities—particularly the physical and life sciences—need further development and expansion at Albany. Accordingly, hiring faculty "strategically" in significant areas of strength and opportunity, particularly in the sciences, will be key to the University's future success in building its research programs. In addition, there is a strategic need to build large, strong departments in cutting-edge disciplines where access to extramural funding is growing.

The present realities of the New York State fiscal environment make it clear that the resources will not soon be available to expand the size of the faculty through augmentation of the annual state-derived operating budget. Thus, the key to strengthening the science faculty will first rest in careful hiring of new faculty to vacancies arising from normal attrition. Next, it will depend on the ability to develop special initiatives for funding through research grants, special state and federal appropriations, and other "off-budget" approaches. Finally, it will require developing new, non-state funded research positions to supplement faculty lines and thereby strengthen our research centers and institutes. The University at Albany has, in recent years, been extremely successful in garnering support from special legislative appropriations as well as national competitions for major research centers. These resources have led to major advances in such areas as materials science, environmental sciences and genomics (see Chapter VI for details).

Developing and Strategically Managing Fiscal Resources. Any resource-limited institution must constantly evaluate how it allocates its funds. The University is now redoubling its efforts to evaluate its ongoing investments in programs and centers/institutes in terms of both research productivity and financial leveraging. Critical to this will be a newly-developed Centers and Institutes policy that defines standards for performance and a process for evaluation. Further, in order to optimize the fiscal performance of the institution, it will be necessary to enhance the leverage of internal investments through indirect cost returns. This means that indirect cost return expenditures will need to be scrutinized carefully, and directed primarily to required match for grant applications and as seed money for promising new research initiatives. Finally, the University must devote more attention to maximizing indirect cost recovery by minimizing indirect cost waivers, by diminishing non-essential cost-sharing commitments, and by focusing grant applications, to the extent possible, on opportunities that reimburse fully facility and administrative costs.

Improving Research Facilities. In recent years, with the opening of the new Library, the CESTM building, and the acquisition of the East Campus, Albany's research facilities have taken huge strides forward. Indeed, until recently, the University had been in a position where core science departments simply did not have adequate equipment or facilities to support research at levels of high national stature and recognition. However, with the new Life Sciences building now ready to enter the construction phase, a state-of-the-art facility will soon be available for biologists, chemists, psychologists, environmental scientists and others with research interests in the life sciences. The relocation of these faculty to the new building will also help relieve overcrowding in existing facilities and allow for expansion in the non-life sciences as well. Coupled with a planned expansion of both CESTM and the East Campus, when the new Life Sciences Building comes on line in 2003, the University will have gained a critically needed new facilities in research areas where enormous funding opportunities exist (e.g., microelectronics, genomics and biotechnology, environmental sciences, etc.). Nonetheless, these new facilities are necessary, but not sufficient, for the University to achieve its true potential as a research university. Many of our existing and very active research centers are now housed in leased facilities off campus. Examples include the

In reviewing the role that "pre-award" research administration offices play in support of researcher needs across the country, some observers have noted that the development function — helping faculty generate ideas and funding sources — should be separated from the administrative-compliance responsibilities. This assessment is especially poignant in a time of twin trends: growing regulatory and bureaucratic accretion from the federal government, and the implementation of complex technological business solutions to conduct research administration. At the University at Albany, like other research universities, we are responding to new costing regulations, increased oversight of human subjects research, and growing requirements to account for personnel time and effort, and cost sharing monitoring. The Research Foundation OASIS project and sponsor agency electronic systems (NSF FASTLANE and Federal Commons) require additional time and resources simply to manage day-to-day business transactions, such as proposal submission and data gathering.

In creating a professional position for a Life Sciences Research Administrator, the Division has ventured into the arena of distributed research administration. By mid-March a research administrator will be co-located with the campus' life science researchers and will support the administrative and fiscal aspects of proposal submissions of faculty in the Biological Sciences, Chemistry, and Psychology departments. This activity has been greatly facilitated and supported by the Dean of the College of Arts and Sciences and the chairs of the departments noted above.

Reorganizing and Reorganizing Research Support Services. The Division for Research is leading the University's efforts to enhance the support of sponsored programs on campus. The Division will accomplish this goal by employing strategies of communication and reallocation of resources. To emphasize this transition, the Office for Research will change its name to the Office for Sponsored Programs to reflect the broad portfolio of campus grant and contract activity administered through the campus offices of the Research Foundation of SUNY.

Instrumentation requirements also present increasing challenges, not only in terms of their initial cost, but also in terms of their efficient and proper operation. The University must be more aggressive in pursuing funding from NIH, NSF and other agencies for major instrumentation. Moreover, the University will expand its development of core equipment facilities and manage them as cost-centers to assure the fiscal resources to operate and maintain them over time.

Center for Technology in Government, the Center for Stress and Anxiety Disorders, and the Institute for Traffic Safety Management and Research. These and other centers require improved and expanded university-situated facilities if they are to continue to flourish. New buildings will be, of course, high priority budget request items to the state. However, reality dictates that non-state funding will also be needed to fund such new facilities. We are now looking at a variety of alternatives for self-financing new construction (much as was done for the acquisition of the East Campus), as well as continuing to expand and diversify our sources of capital resources (e.g., special legislative and congressional appropriations, corporate partnerships, etc.).

The Social Context. There is a larger context for this need to transform ourselves. The academy again faces the challenge of a profoundly-changing society. We have the opportunity and responsibility to redefine ourselves in the context of a major societal transformation. Certainly the intellectual challenges of the "information age," the opportunities of cultural pluralism, and the internationalization of our economy present new dimensions of consideration for all segments of society, most especially higher education.

Strategic plans are, of necessity, living documents which will be changed and modified over time, a critical task for the future. But of perhaps greater importance is the perspective that each member of the University community brings to such change. Both the collegial process of formulating a strategic plan and the consensus around the words embodied in *Charting the Future: Creating a New Learning Environment for the 21st Century* (1998) represent an implicit commitment to a vision for the future of this University. That vision, once realized, will represent the next stage of transformation of this exceptional institution. To succeed at that next stage requires that we each be as personally involved and as far-sighted as were those who transformed the Normal School to the College for Teachers and then to the University.

As this entire self-study document makes clear, the University at Albany is well-positioned as a result of the initiatives of the past decade. In terms of our ability to assess ourselves and change, we can take pride in our accomplishments and successes. We are also mindful of the need to build on that success through continued reflective planning and aggressive action, all in the context of our strategic goals.

Looking Beyond the Horizon

Improving Communications and Outreach. The Division for Research will review all communications and outreach efforts to determine how well they reflect and advocate the University's research programs to external audiences. A communication and outreach plan will then be developed. The Vice President for University Advancement will evaluate the plan and determine how his Division and the Division for Research can work in concert on these efforts.

The Division has determined that in this highly attenuated regulatory environment, the role of research development and communication needs to be highlighted, shielded, and placed at the forefront of our mission and strategy. Toward this end, a position of Associate Vice President for Research has been created and the recruitment process has started. The Associate Vice President will seek new partnerships for campus research programs, assist in matching faculty ideas and concepts to funding interests of sponsors, and communicate campus research accomplishments to enhance the University's visibility in the international research community (see below). A staff position presently located in the Office for Research will be deployed to work directly with the Associate Vice President, to focus on development efforts unencumbered with regulatory and administrative compliance burdens.

While it is certainly true that the professionalization of the academy and the reward structures we have established have often led to deeper ties to one's guild, or discipline, than to one's institution and its teaching function, these loyalties need not be mutually exclusive. In fact, as a number of our departments have demonstrated, national recognition of disciplinary excellence is often tightly coupled to the perceptions of a university as an organic whole across all of its missions.

This means that we need to go beyond an institutional culture that emphasizes only individual and disciplinary excellence. In and of itself, this focus on the individual and the discipline is admirable; it has enabled institutions of higher education to move forward as centers of educational and research excellence. It is only when each of us also makes a larger commitment to the institution as a whole, however, that true transformation is possible. As each of us takes responsibility for the University at Albany in its entirety, as each of us takes ownership of the shared institution-wide goals articulated in *Charting the Future*, we will create a University in which we can all take pride. Indeed, such individual engagement with the whole of the enterprise will create a synergy that will support both individual goals and institutional aspirations.

Mutuality of Obligation. The operative word is "together." The over-arching goal of moving the University into the top ranks of universities will be impossible to achieve without the commitment and full participation of each and every member of the University community.

"This is not... the time for incremental change... for marginal tinkering. We must be bold as we, *together*, envision the future of higher education and, in particular, the future of the University at Albany."

The dogmas of the quiet past are inadequate to the stormy present. The occasion is piled high with difficulty, and we must rise to the occasion. As our case is new, so must we think anew.

As President Hitchcock said in her Inaugural Address (1996), "The words of Abraham Lincoln continue to resonate:

In fundamental ways we are being challenged to re-examine our intellectual and ethical assumptions, our traditional modes of teaching and learning, the structure and content of our curricula, our long-standing commitment to diversity of peoples and ideas, and the nature and extent of our service relative to our community, state, nation and the world. And this challenge to our most basic assumptions and values arises at a time when the public has, to a large degree, lost faith in its institutions and perceives that institutions of higher education, in particular, are *disenfranchised* from the realities of nationwide financial constraints and are *disenfranchised* from the implications of changing demographics, changing global relationships, and changing technologies.

Here at Albany there are many faculty and staff who are deeply engaged in the whole of the institution, who are deeply committed to our students and who epitomize the societal responsibility at the core of our mission. Such institutional engagement needs to be supported and encouraged across our entire University. One way of doing that will be to reshape our allocation process and reward structures to make more explicit the necessity for each College, School, and Division to address and to meet institution-wide goals. This will require a campus-wide dialogue on the role units can play in engaging all of their members in meeting not just individual but also institution-wide goals. Departmental, as well as individual, accountability may well represent the paradigm for change that will allow us to move beyond simply incremental improvement to true institutional transformation.

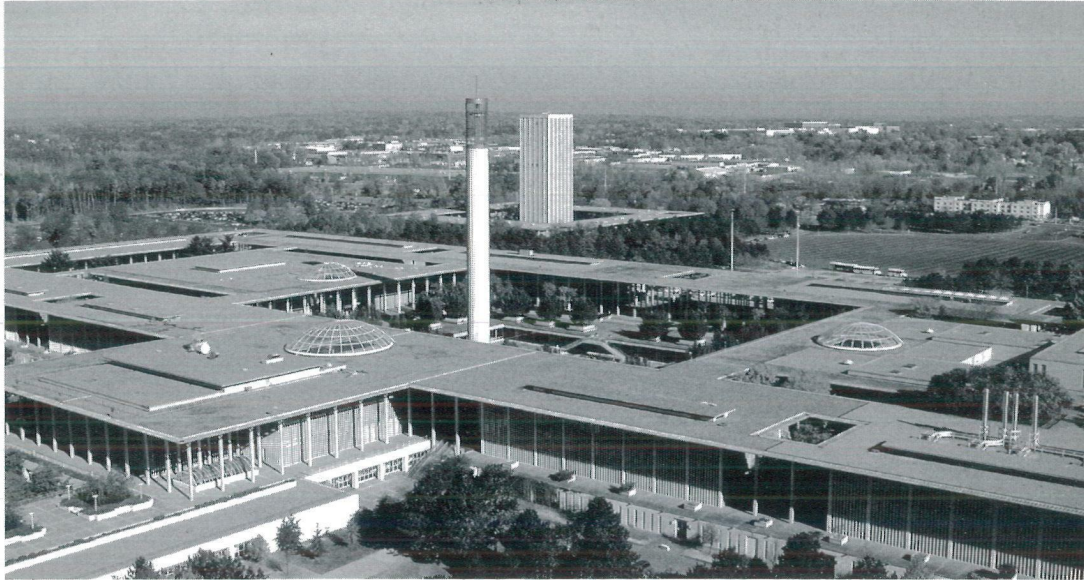
All of our academic and administrative leaders have accepted the responsibility to support the initiatives of the faculty and staff. And, even as they pledge such support, each and every member of the University community will be asked individually to renew their commitment to the University at Albany. Just as the initial formulation of the concept of tenure by the American Association of University Professors described a *mutuality of obligation* between institution and faculty member, so must we *all* recognize — faculty, staff, administrators and students -- that the future of the University at Albany will depend on the degree of connectedness we all feel, the willingness of each of us to accept responsibility for the totality of the environment in which we work and learn.

A recognition of this *mutuality of obligation* across all the many parts of our University will be necessary as we move from incremental change to true transformation. This transformation is underway; and we are confident that the first decade of the 21st century will be distinguished by all constituencies of the University at Albany embracing this empowering principle of *mutuality of obligation*.



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